

**UNITED STATES DISTRICT COURT  
DISTRICT OF NEW JERSEY**

CREIGHTON TAKATA, Individually and on  
behalf of all others similarly situated,

*Plaintiff,*

V.

RIOT BLOCKCHAIN, INC. F/K/A,  
BIOPTIX, INC., JOHN O'ROURKE, and  
JEFFREY G. MCGONEGAL,

*Defendants.*

Civil Action No.: 18-2293(FLW)(ZNQ)

**DECLARATION OF JOSEPH J.  
DEPALMA IN SUPPORT OF LEAD  
PLAINTIFF'S OMNIBUS  
MEMORANDUM OF LAW IN  
OPPOSITION TO DEFENDANTS'  
MOTIONS TO DISMISS THE  
CONSOLIDATED SECOND  
AMENDED CLASS ACTION  
COMPLAINT**

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AFANADOR, LLC**

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*Counsel for Dr. Stanley Golovac  
and Lead Counsel for the Class*

**DECLARATION OF JOSEPH J. DEPALMA**

I, Joseph J. DePalma, hereby declare as follows:

1. I am an attorney admitted to practice in the State of New Jersey and am admitted to practice before this Court in the above-captioned case. I am a member of Lite DePalma Greenberg Afanador, LLC, Local Counsel for Lead Plaintiff Dr. Stanley Golovac.

2. I respectfully submit to the Court, pursuant to 28 U.S.C. § 1746, this declaration and the attached materials that are referenced in Lead Plaintiff's Omnibus Memorandum of Law in Opposition to Defendants' Motions to Dismiss the Consolidated Second Amended Class Action Complaint.

3. Submitted herewith are true and correct copies of the following:

<b>Exhibit</b>	<b>Description</b>
1	Petition filed by Barry Honig and Michael Brauser in <i>Brauser v. Sanders Morris Harris, Inc.</i> , No. 2015-11227, on February 26, 2015, with the District Court of Harris County, Texas.
2	Letter from Kimberly L. Frederick, Assistant Regional Director for the U.S. Securities and Exchange Commission ("SEC"), to Riot Blockchain, Inc., dated January 29, 2020, which was attached as Exhibit A to the Declaration of D. Scott Carlton in Support of Defendants' Reply in Support of Their Motion for Leave to File a Joint Sur-Reply (ECF No. 165-1).
3	Excerpts of Riot Blockchain, Inc. (f/k/a Biopix, Inc.) Current Report on Form 8-K filed with the SEC on March 16, 2017.
4	SEC Form D – Notice of Exempt Offering of Securities and Instructions for Submitting a Form D Notice.
5	Excerpts of Riot Blockchain, Inc. Current Report on Form 8-K filed with the SEC on December 19, 2017.
6	Newspaper article titled "Investor Who Rode Pivot From Biotech to Bitcoin Sells Big Stake," published by <i>The Wall Street Journal</i> on January 31, 2018 at 8:00 a.m. ET.

7	Chart of historical Bitcoin prices (BTC-USD) for June 30, 2016 through September 8, 2018, generated from <a href="https://finance.yahoo.com/quote/BTC-USD/history">https://finance.yahoo.com/quote/BTC-USD/history</a> on March 19, 2021.
8	Excerpts of Riot Blockchain, Inc. Registration Statement on Form S-3 filed with the SEC on January 5, 2018.

I declare under penalty of perjury that the foregoing is true and correct. Executed this 25th day of March, 2021, in Newark, New Jersey.

/s/ Joseph J. DePalma

Joseph J. DePalma

# **Exhibit 1**

## 2015-11227 / Court: 080

Cause No. \_\_\_\_\_

Michael Brauser, Barry Honig, and GRQ	§	In the District Court of
Consultants, Inc., Roth 401(k) f/b/o	§	
Barry Honig,	§	
<i>Plaintiffs,</i>	§	Harris County, Texas
v.	§	
Sanders Morris Harris, Inc., Don Sanders, and	§	
Ben T. Morris,	§	
<i>Defendants.</i>	§	_____ Judicial District Court

Plaintiffs' Original Petition and Request for Disclosure

Plaintiffs Michael Brauser, Barry Honig, and GRQ Consultants, Inc. Roth 401(k) f/b/o Barry Honig (collectively "plaintiffs") file this Original Petition and demand for jury trial against defendants Sanders Morris Harris, Inc., Don Sanders, and Ben Morris.

## I.

Discovery Control Plan

1. Plaintiffs intend to conduct discovery under Level 3 of Texas Rule of Civil Procedure ("TRCP") 190.3.

## II.

Parties

2. Plaintiff Michael Brauser ("Brauser") is a citizen of the State of Florida and resides in Lighthouse Point, Florida.

3. Plaintiff Barry Honig ("Honig") is a citizen of the State of Florida and resides in Boca Raton, Florida.

4. Plaintiff GRQ Consultants, Inc. Roth 401(k) f/b/o Barry Honig ("GRQ") is a corporation organized and existing under the laws of the State of Florida with its principal place of business in Boca Raton, Florida.

5. Defendant Sanders Morris Harris, Inc. (“SMH”) is a Texas corporation with its principal place of business in Houston, Texas, and may be served with process by serving its registered agent in the State of Texas, Corporation Service Company d/b/a CSC-Lawyers Inc. located at 211 E. 7<sup>th</sup> Street Suite 620, Austin, Texas 78701. SMH is a registered broker-dealer that buys and sells securities in the ordinary course of its business.

6. Defendant Don Sanders (“Sanders”) is a citizen of the State of Texas residing in Houston, Texas, and may be served with process at SMH’s principal place of business at 600 Travis, Houston, Texas 77002. Sanders is a principal in defendant SMH.

7. Defendant Ben T. Morris (“Morris”) is a citizen of the State of Texas residing in Houston, Texas, and may be served with process at SMH’s principal place of business at 600 Travis, Houston, Texas 77002. Morris is a principal in defendant SMH and a member of the Board of Directors of Yuma Energy, Inc. (“Yuma”).

### III.

#### Jurisdiction and Venue

8. The Court has jurisdiction over this matter because the amount in controversy exceeds this Court’s minimum jurisdictional requirements. Per TRCP 47, plaintiffs seek rescission or monetary relief over \$1 million.

9. The Court has jurisdiction over Defendants because they are residents of or incorporated in Texas.

10. Venue is proper in Harris County, Texas, per TCPRC § 15.002(a)(1)-(3) because (1) events or omissions giving rise to the claims at issue occurred in Harris County, (2) defendants Sanders and Morris are natural persons who resided in Harris County, Texas at the

time of the events at issue, and (3) the principal office of defendant SMH is located in Harris County.

#### IV.

##### Facts

11. This case arises from defendants' sale of millions of dollars' worth of stock in Yuma to plaintiffs at a time when defendants knew, but failed to disclose, material, nonpublic information.

##### Pyramid and Yuma Sign a Merger Agreement

12. Before September 2014, plaintiffs Brauser and Honig had been shareholders in Pyramid Oil Company ("Pyramid"), a publicly traded company in the oil and gas business.

13. In October 2013, Pyramid had discussions with investment advisory firm Roth Capital Partners, LLC ("Roth Capital") about possible joint ventures, business combinations, and mergers to increase shareholder value. Roth Capital contacted Yuma, a privately-held company in the oil and gas business, and arranged for the companies to meet to discuss a possible combination. In November 2013, Roth Capital visited Yuma's offices and suggested a possible merger with Pyramid.

14. Pyramid and Yuma were considering an all-stock merger transaction, which would result in Yuma merging into a subsidiary of Pyramid and becoming a publicly-traded company, and Pyramid issuing additional shares of stock to Yuma's shareholders. In a conference call on December 12, 2013 between Pyramid's board of directors and Roth Capital, Pyramid asked Roth Capital to suggest relative valuations for Pyramid and Yuma. Roth Capital stated that Pyramid should retain a 7% interest and Yuma should obtain a 93% interest in the post-merger combined entity.

15. In December 2013, representatives of Pyramid and Yuma met and discussed a possible business combination. On December 19, 2013, Yuma sent a formal proposal to Pyramid based on the then-existing Yuma shareholders owning 93% of the post-merger combined entity, and the then-existing Pyramid shareholders owning 7%. On December 20, 2013, Pyramid formally engaged Roth Capital as its exclusive advisor in the proposed transaction, with Roth Capital providing a fairness opinion on the terms of the merger agreement.

FY 2014 EBITDA and the La Posada Field

16. Yuma was not a publicly-traded company. On behalf of Pyramid, Roth Capital undertook determining a valuation of Yuma for the purposes of deciding the relative values of Yuma and Pyramid in connection with the potential merger.

17. Roth Capital met and had discussions with Yuma's management personnel, who informed Roth Capital about Yuma's then-current rates of oil production and informed Roth Capital that Yuma projected its fiscal year 2014 EBITDA would exceed \$50 million. Roth Capital relied on this information in valuing Yuma and rendering its opinion that the merger transaction was fair to Pyramid shareholders.

18. On February 5, 2014, Roth Capital delivered to Pyramid a fairness opinion in which Roth Capital opined that a combination of the entities based upon a 93% Yuma / 7% Pyramid split was fair to Pyramid's shareholders.

19. On February 6, 2014, Pyramid filed a Form 8K announcing that Pyramid and Yuma had entered into a definitive merger agreement and attached the merger agreement. The merger was structured as an all-stock transaction in which Pyramid would issue stock to the shareholders of Yuma, and Yuma then would merge into a Pyramid subsidiary created for purposes of the merger.



20. Consummation of the merger was contingent on registration of the shares of pre-merger Pyramid to be issued to Yuma's shareholders, and contingent on approval of the merger by the shareholders of both Pyramid and Yuma.

Registration and Joint Proxy Statement

21. On August 4, 2014, Pyramid filed a Registration Statement on Form S-4 to register the shares that were to be issued to consummate the merger. The Registration Statement included a Joint Proxy Statement by Pyramid and Yuma to solicit their respective shareholders to approve the merger. Also filed was an Amended Merger Agreement, which provided, in substance, that the financial statements of Yuma fairly presented its financial condition and that, since the last audited financial statements, there had been no material adverse change in Yuma's circumstances. For example, the Joint Proxy Statement summarized the merger agreement as requiring that certain conditions to the merger would be satisfied. First, it required "the accuracy of the representations and warranties to Pyramid and Yuma in the merger agreement, subject to certain materiality thresholds." Second, it required "receipt of certificates by executive officers of each of Pyramid and Yuma to the effect that" this obligation was satisfied. Third, it required that "there not having occurred a material adverse effect on Pyramid or Yuma since the date of the merger agreement, the effects of which are continuing."

22. The Registration Statement and Joint Proxy Statement included Roth Capital's February 5, 2014 fairness opinion which was based in material part on Yuma management's pre-February 2014 representations about Yuma's \$50+ million in FY 2014 EBITDA and about its rates of oil production. Yuma did not disclose in the Joint Proxy Statement (and did not otherwise disclose to Pyramid's shareholders) the then-existing fact that Yuma's prior projection of \$50+ million in FY 2014 EBITDA no longer was accurate.

23. Pyramid's and Yuma's shareholders approved the proposed merger, and the merger closed on approximately September 10, 2014.

24. Following the merger, Pyramid changed its name to Yuma and began trading on the New York Stock Exchange under the name Yuma Energy, Inc. (NYSE: YUMA). Pursuant to the merger agreement, shareholders of pre-merger Yuma received 93% of the stock in the post-merger Yuma, and shareholders of pre-merger Pyramid received 7% of the stock in the post-merger Yuma.

SMH Failed to Disclose Material Nonpublic Information  
and Sold 1,175,000 Shares to Plaintiffs

25. On September 16, 2014, just days after the merger closed, Defendant Sanders Morris Harris, Inc. ("SMH") sold shares (the "Shares") of Yuma stock to plaintiffs at a price of \$4.50 per share as follows: 1,175,000 shares to Honig, 75,000 to GRQ, and 251,300 to Brauser. The transactions were reported on the tape as one block trade for 1,501,300 shares.

26. SMH is a registered broker-dealer that buys and sells securities in the ordinary course of its business. Defendant Don Sanders is the "S" in SMH and is a principal in SMH. Defendant Ben T. Morris is the "M" in SMH, has been a member of Yuma's Board of Directors since 2011, and was a member of pre-merger Yuma's Board of Directors.

27. Defendants Sanders and Morris negotiated the sales of the Shares between plaintiffs and defendants.

28. Upon information and belief, SMH sold the Shares from accounts at SMH over which Sanders had control. Upon information and belief, SMH and/or Sanders controlled approximately 17.5 million shares of Yuma.

29. On September 22, 2014 – less than a week after defendants sold the Shares to plaintiffs – Yuma filed a Form 8K/A and for the first time disclosed its financial results for the

three months ended June 30, 2014. Yuma's Form 8K/A disclosed that Yuma's oil production averaged 2,567 barrels of oil equivalent per day (BOE/D) for the three months ended June 30, 2014, a material decline from the prior three-month period that had been disclosed in the Joint Proxy Statement. Yuma's Form 8K/A disclosed EBITDA of (\$1,756,770) and \$2,963,705 for the three and six-month periods ending June 30, 2014, respectively. These disclosures revealed that Yuma likely would not make (and was not close to making) its projected \$50+ million FY 2014 EBITDA.

30. On October 14, 2014, just over one month after the merger closed, post-merger Yuma filed a Form 8K disclosing that it had commenced a new underwritten public offering of its Series A Cumulative Redeemable Preferred Stock. In connection with this offering, Yuma also filed a prospectus with the SEC on the same date. Yuma's prospectus disclosed for the first time that, by July 2014—before the August 2014 issuance of the Joint Proxy Statement for the merger with Pyramid—there had been material adverse developments at the La Posada field. The La Posada oil field was a significant oil-and-gas producing property for Yuma. In the August 2014 Joint Proxy Statement soliciting shareholder approval of the merger, Yuma disclosed that La Posada “contained 17% of Yuma's total proved reserves as of December 31, 2012,” and that “[n]o other single field accounted for 15% or more of Yuma's proved reserves as of December 31, 2012.”

31. The August 2014 Joint Proxy Statement, however, did not contain any disclosures about any material adverse changes at the La Posada field, and did not provide any such information about La Posada since Yuma's last audited financials. In its October 2014 prospectus for its preferred shares offering, Yuma disclosed for the first time this material information about production at two of the three wells at La Posada: “In July 2014, the

Broussard No. 2 experienced an increase in water production,” which meant that “both the Broussard No. 2 and the Thibodeaux No. 1 had to be choked back,” the “net effect” of which was “that the field was down” by 58% in natural gas production and 55% in oil production in “August 2014.”

32. At all relevant times, defendant Morris was a member of pre-merger Yuma’s Board of Directors and a member of post-merger Yuma’s Board of Directors. As of September 16, 2014, when defendant SMH sold the 1,501,300 shares of post-merger Yuma stock to plaintiffs at a price of \$4.50 per share, Morris should have known (and, on information and belief, did know) the then-existing material fact that Yuma was not on-target to meet its projected \$50+ million EBITDA, that Yuma’s financial performance for the three-month period ended June 30, 2014 missed its projections, and that one of Yuma’s primary oil and gas properties had experienced material adverse developments beginning in July 2014.

33. On information and belief, at the time that Morris, Sanders, and SMH solicited the sale of Shares to plaintiffs, Morris was in possession of material, non-public information that defendants did not disclose to plaintiffs. Morris and Sanders jointly solicited and negotiated the sale of the Shares to plaintiffs. In light of Morris’s and Sanders’ roles as principles at their firm SMH, it is likely that Sanders and SMH likewise also possessed the same material, non-public information.

34. On information and belief, Sanders and/or SMH controlled more than 5% of a class of stock in pre-merger Yuma and, upon consummation of the merger, more than 5% of post-merger Yuma’s common stock.

35. In the Form S-4 filed in connection with the merger on August 4, 2014, as amended on August 7, 2014, the beneficial ownership table for Yuma did not include Sanders or

SMH or indicate that they controlled more than 5% of any class of Yuma stock. Although the Form S-4 did include Morris in the beneficial ownership table due to his role as a director, it showed that Morris owned what would equate to 160,576 shares (far less than one percent) of common stock in post-merger Yuma.

36. In October 2014, Yuma's CEO Sam Banks disclosed to plaintiffs that Sanders controlled approximately 17.5 million shares of Yuma stock, representing approximately 25% of Yuma's outstanding stock at the time. Defendants had not disclosed this information to plaintiffs prior to (or during or after) the September 16 sale of the Shares.

37. On February 12, 2015, SMH filed a Schedule 13G disclosing that it beneficially owned 5,013,507 shares of Yuma common stock as of December 31, 2014, representing over 7% of that class of stock.

38. Before selling the Shares to plaintiffs, defendants did not disclose to plaintiffs the fact of Sanders' or SMH's significant beneficial ownership interest in Yuma stock.

39. Defendants' failure, omissions, and misstatements were material. A significant beneficial owner's sale of shares in a newly-merged entity just a few days after the merger was completed is a negative indication regarding the prospects of the newly-merged company. Such information regarding a significant beneficial ownership interest in Yuma stock was material. It is the kind of information that the SEC requires to be disclosed in connection with proxy solicitations for mergers and in various other filings (*e.g.*, Schedules 13D and/or 13G) precisely because of its materiality. Defendants' failure to disclose to plaintiffs their significant beneficial ownership interest in Yuma—particularly given that such information had not been disclosed in the beneficial ownership table in Yuma's Joint Proxy Statement—is a material and materially misleading omission.

40. Plaintiffs would not have purchased the Shares if they had known the undisclosed facts that Sanders or SMH controlled such a large interest in Yuma's stock, that Yuma was experiencing an earnings and production shortfall at one of Yuma's most important properties, or that Yuma was not on track to meet (and not close to meeting) its projected \$50+ million in FY 2014 EBITDA. Defendants' omission to disclose this information in connection with the sale of the Shares was materially misleading.

V.

Causes of Action

Count 1 – Violation of Section 33 of the Texas Securities Act

41. Plaintiffs incorporate the allegations above.

42. Defendants controlled the Shares that were sold to plaintiffs on or about September 16, 2014. Defendants solicited the sale of the Shares to plaintiffs on or about September 16, 2014.

43. The Shares are securities within the meaning of the Texas Securities Act.

44. Defendants solicited the sale of the Shares and/or offered and/or sold the Shares to plaintiffs by means of untrue statements of material facts or omissions of material fact necessary in order to make the statements made, in light of the circumstances, not misleading. Defendants violated Section 33 of the Texas Securities Act. Tex. Civ. Code Ann. § 581-33 *et seq.*

45. Defendants are jointly and severally liable for their violations of the Texas Securities Act. Morris and Sanders directly or indirectly control SMH, the seller of the Shares, and directly or indirectly materially aided SMH, the seller of the Shares, with reckless disregard for the truth or the law.

46. As a result of defendants' violations of the Texas Securities Act, plaintiffs are entitled to rescission of the sale of the Shares, and are entitled to recover the full consideration paid to defendants for the Shares, plus interest from the date of the purchase, costs, and attorneys' fees. Plaintiffs are prepared to tender their Shares upon receipt of such relief. Alternatively, plaintiffs are entitled to damages in a sum that exceeds this Court's jurisdictional limits.

47. As a result of defendants' violation of the Texas Securities Act, plaintiffs retained counsel to prosecute this action. Plaintiffs are entitled to recover their reasonable attorneys' fees under Texas Securities Act § 581-33D(7). Plaintiffs also present their claim for attorney's fees to defendants in accordance with TCPRC § 38.002 to the extent applicable.

Count 2 – Negligent Misrepresentations and Omissions

48. Plaintiffs incorporate the allegations above.

49. Defendants made negligent false representations and omissions of material fact concerning the Shares in the course of defendants' business.

50. Defendants failed to exercise reasonable care in making the false representations or omissions.

51. Plaintiffs purchased the Shares in justifiable reliance on defendants' representations and in reliance on the absence of the materially misleading omissions.

52. Defendants are liable individually for their own negligent misrepresentation and omissions. Defendants are jointly and severally liable for each other's negligent misrepresentations and omissions, as Morris and Sanders controlled SMH, solicited the sale of Shares to plaintiffs, and negotiated the sale of Shares to plaintiffs.

53. Defendants' negligent misrepresentations or materially misleading omissions regarding the sale of Shares proximately have caused damage to plaintiffs. Plaintiffs seek rescission of the sale of Shares, the return of all consideration provided, and the recovery of all costs associated with the purchase of the Shares. Alternatively, plaintiffs are entitled to damages in an amount exceeding this Court's jurisdictional limits.

VI.

Jury Demand

54. Plaintiffs demand a trial by jury and tender the appropriate fee with this petition.

VII.

Request for Disclosure

55. Under TRCP 194, plaintiffs request that, within 30 days of the service of this request, defendants disclose the information or material described in TRCP 194.2.

56. With respect to this and all subsequent discovery requests, plaintiffs request that defendants comply with and provide the information required under TRCP 193.3.

VIII.

Relief

57. Plaintiffs ask that the Court issue citation for defendants to appear and answer, and that the Court award plaintiffs a judgment against defendants for the following:

- (1) Rescission of the sale of Shares and the return of all consideration provided;
- (2) Actual, special, consequential and exemplary damages;
- (3) Reasonable and necessary attorneys' fees and expenses;
- (4) Pre-judgment and post-judgment interest;
- (5) Court costs; and



(6) All other and further relief, legal and equitable, to which plaintiffs may be entitled.

Dated: February 26, 2015

Respectfully submitted,

SUSMAN GODFREY L.L.P.

By: /s/ Geoffrey L. Harrison

Geoffrey L. Harrison

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*Attorneys for Plaintiffs*

# **Exhibit 2**



UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION

Denver Regional Office  
1961 Stout Street, Suite 1700  
Denver, CO 80294

DIVISION OF ENFORCEMENT

Kimberly L. Frederick  
Assistant Regional Director  
(303) 844-1034

January 29, 2020

**Via UPS and E-Mail: ACeresney@debevoise.com**

Riot Blockchain, Inc.  
c/o Andrew J. Ceresney  
Debevoise & Plimpton LLP  
919 Third Avenue  
New York, NY 10022

Re: In the Matter of Riot Blockchain, Inc. (D-03750)

Dear Mr. Ceresney:

We have concluded the investigation as to Riot Blockchain, Inc. Based on the information we have as of this date, we do not intend to recommend an enforcement action by the Commission against Riot Blockchain, Inc. We are providing this notice under the guidelines set out in the final paragraph of Securities Act Release No. 5310, which states in part that the notice "must in no way be construed as indicating that the party has been exonerated or that no action may ultimately result from the staff's investigation." (The full text of Release No. 5310 can be found at: <http://www.sec.gov/divisions/enforce/wells-release.pdf>.)

Sincerely,

A handwritten signature in blue ink, reading "KL Frederick", is positioned above the typed name.

Kimberly L. Frederick  
Assistant Regional Director  
Division of Enforcement

# Exhibit 3

**UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
WASHINGTON, DC 20549**

**FORM 8-K**

**CURRENT REPORT**

**PURSUANT TO SECTION 13 OR 15(d) OF THE  
SECURITIES EXCHANGE ACT OF 1934**

**Date of Report (Date of earliest event reported): March 10, 2017**

**Bioptix, Inc.**

\_\_\_\_\_  
(Exact name of Registrant as specified in its charter)

**Colorado**

\_\_\_\_\_  
(State or other jurisdiction of incorporation or  
organization)

**001-33675**

\_\_\_\_\_  
(Commission File Number)

**84-155337**

\_\_\_\_\_  
(I.R.S. Employer Identification No.)

**1775 38th Street  
Boulder, Colorado**

\_\_\_\_\_  
(Address of principal executive offices)

**80301**

\_\_\_\_\_  
(Zip Code)

**Registrant's telephone number, including area code:**

**(303) 545-5550**

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions (see General Instruction A.2. below):

- ☐ Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)  
☐ Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)  
☐ Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))  
☐ Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))
- \_\_\_\_\_

**EXHIBIT E**

**ACCREDITED INVESTOR QUESTIONNAIRE  
IN CONNECTION WITH INVESTMENT IN UNITS OF BIOPTIX, INC.,  
A COLORADO CORPORATION  
PURSUANT TO SECURITIES PURCHASE AGREEMENT DATED      , 2017**

To: Bioptix, Inc.  
1775 38<sup>th</sup> Street  
Boulder, CO 80301  
Fax: [                      ]

**INSTRUCTIONS**

PLEASE ANSWER ALL QUESTIONS. If the appropriate answer is "None" or "Not Applicable", so state. Please print or type your answers to all questions. Attach additional sheets if necessary to complete your answers to any item.

Your answers will be kept strictly confidential at all times. However, Bioptix, Inc. (collectively, the "Company") may present this Questionnaire to such parties as it deems appropriate in order to assure itself that the offer and sale of securities of the Company will not result in a violation of the registration provisions of the Securities Act of 1933, as amended, or a violation of the securities laws of any state.

1. Please provide the following information:

Name: \_\_\_\_\_

Name of additional purchaser: \_\_\_\_\_  
(Please complete information in Question 5)

Date of birth, or if other than an individual, year of organization or incorporation:

2. Residence address, or if other than an individual, principal office address:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Telephone number: \_\_\_\_\_

Social Security Number: \_\_\_\_\_

Taxpayer Identification  
Number: \_\_\_\_\_

3. Business address: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

13. Do you understand that this investment is not liquid?

\_\_\_\_\_  
Yes

\_\_\_\_\_  
No

14. Do you have adequate means of providing for your current needs and personal contingencies in view of the fact that this is not a liquid investment?

\_\_\_\_\_  
Yes

\_\_\_\_\_  
No

15. Are you aware of the Company's business affairs and financial condition, and have you acquired all such information about the Company as you deem necessary and appropriate to enable you to reach an informed and knowledgeable decision to acquire the Interests?

\_\_\_\_\_  
Yes

\_\_\_\_\_  
No

16. Do you have a "pre-existing relationship" with the Company or any of the officers of the Company?

\_\_\_\_\_  
Yes

\_\_\_\_\_  
No

(For purposes hereof, "pre-existing relationship" means any relationship consisting of personal or business contacts of a nature and duration such as would enable a reasonably prudent investor to be aware of the character, business acumen, and general business and financial circumstances of the person with whom such relationship exists.)

If so, please name the individual or other person with whom you have a pre-existing relationship and describe the relationship:

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**Selling Securityholder Notice and Questionnaire**

The undersigned beneficial owner of common stock (the "Registrable Securities") of Bioptix, Inc., a Colorado corporation (the "Company"), understands that the Company has filed or intends to file with the Securities and Exchange Commission (the "Commission") a registration statement (the "Registration Statement") for the registration and resale under Rule 415 of the Securities Act of 1933, as amended (the "Securities Act"), of the Registrable Securities, in accordance with the terms of the Registration Rights Agreement (the "Registration Rights Agreement") to which this document is annexed. A copy of the Registration Rights Agreement is available from the Company upon request at the address set forth below. All capitalized terms not otherwise defined herein shall have the meanings ascribed thereto in the Registration Rights Agreement.

Certain legal consequences arise from being named as a selling securityholder in the Registration Statement and the related prospectus. Accordingly, holders and beneficial owners of Registrable Securities are advised to consult their own securities law counsel regarding the consequences of being named or not being named as a selling securityholder in the Registration Statement and the related prospectus.

**NOTICE**

The undersigned beneficial owner (the "Selling Securityholder") of Registrable Securities hereby elects to include the Registrable Securities owned by it in the Registration Statement.

The undersigned hereby provides the following information to the Company and represents and warrants that such information is accurate:

**QUESTIONNAIRE****1. Name.**

(a) Full Legal Name of Selling Securityholder

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(b) Full Legal Name of Registered Holder (if not the same as (a) above) through which Registrable Securities are held:

---

(c) Full Legal Name of Natural Control Person (which means a natural person who directly or indirectly alone or with others has power to vote or dispose of the securities covered by this Questionnaire):

---



**2. Address for Notices to Selling Securityholder:**

---

---

---

Telephone:

Fax:

Contact Person:

**3. Broker-Dealer Status:**

(a) Are you a broker-dealer?

Yes

No

(b) If "yes" to Section 3(a), did you receive your Registrable Securities as compensation for investment banking services to the Company?

Yes

No

Note: If "no" to Section 3(b), the Commission's staff has indicated that you should be identified as an underwriter in the Registration Statement.

(c) Are you an affiliate of a broker-dealer?

Yes

No

(d) If you are an affiliate of a broker-dealer, do you certify that you purchased the Registrable Securities in the ordinary course of business, and at the time of the purchase of the Registrable Securities to be resold, you had no agreements or understandings, directly or indirectly, with any person to distribute the Registrable Securities?

Yes

No

Note: If "no" to Section 3(d), the Commission's staff has indicated that you should be identified as an underwriter in the Registration Statement.

**4. Beneficial Ownership of Securities of the Company Owned by the Selling Securityholder.**

*Except as set forth below in this Item 4, the undersigned is not the beneficial or registered owner of any securities of the Company other than the securities issuable pursuant to the Purchase Agreement.*

---

(a) Type and Amount of other securities beneficially owned by the Selling Securityholder:

---

---

**5. Relationships with the Company:**

*Except as set forth below, neither the undersigned nor any of its affiliates, officers, directors or principal equity holders (owners of 5% or more of the equity securities of the undersigned) has held any position or office or has had any other material relationship with the Company (or its predecessors or affiliates) during the past three years.*

State any exceptions here:

---

---

The undersigned agrees to promptly notify the Company of any inaccuracies or changes in the information provided herein that may occur subsequent to the date hereof at any time while the Registration Statement remains effective.

By signing below, the undersigned consents to the disclosure of the information contained herein in its answers to Items 1 through 5 and the inclusion of such information in the Registration Statement and the related prospectus and any amendments or supplements thereto. The undersigned understands that such information will be relied upon by the Company in connection with the preparation or amendment of the Registration Statement and the related prospectus.

IN WITNESS WHEREOF the undersigned, by authority duly given, has caused this Notice and Questionnaire to be executed and delivered either in person or by its duly authorized agent.

Date:

Beneficial Owner:

By: \_\_\_\_\_  
Name:  
Title:

**[SIGNATURE PAGE FOR SELLING SECURITYHOLDER NOTICE AND QUESTIONNAIRE]**

# **Exhibit 4**

**FORM D****Securities and Exchange Commission**

Washington, DC 20549

**Notice of Exempt  
Offering of Securities****(See instructions beginning on page 5)**

Intentional misstatements or omissions of fact constitute federal criminal violations. See 18 U.S.C. 1001.

**OMB APPROVAL**

OMB Number: 3235-0076

Expires: April 30, 2023

Estimated average burden

hours per response: 4.00

**Item 1. Issuer's Identity**

Name of Issuer

Jurisdiction of Incorporation/Organization

Year of Incorporation/Organization

(Select one)

☐ Over Five Years Ago☒ Within Last Five Years  
(specify year)

Previous Name(s)

☐ None

Entity Type (Select one)

☐ Corporation☐ Limited Partnership☐ Limited Liability Company☐ General Partnership☐ Business Trust☐ Other (Specify)*(If more than one issuer is filing this notice, check this box ☐ and identify additional issuer(s) by attaching Items 1 and 2 Continuation Page(s).)***Item 2. Principal Place of Business and Contact Information**

Street Address 1

Street Address 2

City

State/Province/Country

ZIP/Postal Code

Phone No.

**Item 3. Related Persons**

Last Name

First Name

Middle Name

Street Address 1

Street Address 2

City

State/Province/Country

ZIP/Postal Code

Relationship(s): ☐ Executive Officer ☐ Director ☐ Promoter

Clarification of Response (if necessary)

*(Identify additional related persons by checking this box ☐ and attaching Item 3 Continuation Page(s).)***Item 4. Industry Group (Select one)**☐**Agriculture****Banking and Financial Services**☐ Commercial Banking☐ Insurance☐ Investing☐ Investment Banking☐ Pooled Investment Fund

If selecting this industry group, also select one fund type below and answer the question below:

☐ Hedge Fund☐ Private Equity Fund☐ Venture Capital Fund☐ Other Investment FundIs the issuer registered as an investment company under the Investment Company Act of 1940? ☐ Yes ☐ No☐ Other Banking & Financial Services☐**Business Services****Energy**☐ Electric Utilities☐ Energy Conservation☐ Coal Mining☐ Environmental Services☐ Oil & Gas☐ Other Energy**Health Care**☐ Biotechnology☐ Health Insurance☐ Hospitals & Physicians☐ Pharmaceuticals☐ Other Health Care☐**Manufacturing****Real Estate**☐ Commercial☐**Construction**☐**REITS & Finance**☐**Residential**☐**Other Real Estate**☐**Retailing**☐**Restaurants****Technology**☐ Computers☐ Telecommunications☐ Other Technology**Travel**☐ Airlines & Airports☐ Lodging & Conventions☐ Tourism & Travel Services☐ Other Travel☐**Other**

**Item-by-Item Instructions (Continued)**

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**Item 9. Type(s) of Securities Offered.** Select the appropriate type or types of securities offered as to which this notice is filed. If the securities are debt convertible into other securities, however, select "Debt" and any other appropriate types of securities except for "Equity." For purposes of this filing, use the ordinary dictionary and commonly understood meanings of these categories. For instance, equity securities would be securities that represent proportional ownership in an issuer, such as ordinary common and preferred stock of corporations and partnership and limited liability company interests; debt securities would be securities representing money loaned to an issuer that must be repaid to the investor at a later date; pooled investment fund interests would be securities that represent ownership interests in a pooled or collective investment vehicle; tenant-in-common securities would be securities that include an undivided fractional interest in real property other than a mineral property; and mineral property securities would be securities that include an undivided interest in an oil, gas or other mineral property.

**Item 10. Business Combination Transaction.** Indicate whether or not the offering is being made in connection with a business combination, such as an exchange (tender) offer or a merger, acquisition, or other transaction of the type described in paragraph (a)(1), (2) or (3) of Rule 145 under the Securities Act of 1933. Do not include an exchange (tender) offer for a class of the issuer's own securities. If necessary to prevent the information supplied from being misleading, also provide a clarification in the space provided.

**Item 11. Minimum Investment.** Enter the minimum dollar amount of investment that will be accepted from any outside investor. If the offering provides a minimum investment amount for outside investors that can be waived, provide the lowest amount below which a waiver will not be granted. If there is no minimum investment amount, enter "0." Investors will be considered outside investors if they are not employees, officers, directors, general partners, trustees (where the issuer is a business trust), consultants, advisors or vendors of the issuer, its parents, its majority owned subsidiaries, or majority owned subsidiaries of the issuer's parent.

**Item 12. Sales Compensation.** Enter the requested information for each person that has been or will be paid directly or indirectly any commission or other similar compensation in cash or other consideration in connection with sales of securities in the offering, including finders. Enter the CRD number for every person identified and any broker and dealer listed that has a CRD number. CRD numbers can be found at <http://brokercheck.finra.org>. A person that does not have a CRD number need not obtain one in order to be listed, and must be listed when required regardless of whether the person has a CRD number. In addition, check the State(s) in which the named person has solicited or intends to solicit investors. If more than five persons to be listed are associated persons of the same broker or dealer, enter only the name of the broker or dealer, its CRD number and street address, and the State(s) in which the named person has solicited or intends to solicit investors.

**Item 13. Offering and Sales Amounts.** Enter the dollar amount of securities being offered under a claim of federal exemption identified in Item 6 above. Also enter the dollar amount of securities sold in the offering as of the filing date. Select the "Indefinite" box if the amount being offered is undetermined or cannot be calculated at the present time, such as if the offering includes securities to be acquired upon the exercise or exchange of other securities or property and the exercise price or exchange value is not currently known or knowable. If an amount is definite but difficult to calculate without unreasonable effort or expense, provide a good faith estimate. The total offering and sold amounts should include all cash and other consideration to be received for the securities, including cash to be paid in the future under mandatory capital commitments. In offerings for consideration other than cash, the amounts entered should be based on the issuer's good faith valuation of the consideration. If necessary to prevent the information supplied from being misleading, also provide a clarification in the space provided.

**Item 14. Investors.** Indicate whether securities in the offering have been or may be sold to persons who do not qualify as accredited investors as defined in Rule 501(a), 17 CFR 230.501(a), and provide the number of such investors who have already invested in the offering. In addition, regardless of whether securities in the offering have been or may be sold to persons who do not qualify as accredited investors, specify the total number of investors who already have invested.

**Item 15. Sales Commission and Finders' Fees Expenses.** The information on sales commissions and finders' fees expenses may be given as subject to future contingencies.

**Item 16. Use of Proceeds.** No additional instructions.

**Signature and Submission.** An individual who is a duly authorized representative of each issuer identified must sign, date and submit this notice for the issuer. The capacity in which the individual is signing should be set forth in the "Title" field underneath the individual's name.

The name of the issuer(s) on whose behalf the notice is being submitted should be set forth in the "Issuer" field beside the individual's name; if the individual is signing on behalf of all issuers submitting the notice, the word "All" may be set forth in the "Issuer" field. Attach signature continuation page(s) to have different individuals sign on behalf of different issuer(s). Enter the number of continuation pages attached and included in the filing. If no continuation pages are attached, enter "0".

# **Exhibit 5**

**UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
WASHINGTON, DC 20549**

**FORM 8-K**

**CURRENT REPORT**

**PURSUANT TO SECTION 13 OR 15(d) OF THE  
SECURITIES EXCHANGE ACT OF 1934**

**Date of Report (Date of earliest event reported): December 18, 2017**

**Riot Blockchain, Inc.**

(Exact name of Registrant as specified in its charter)

**Colorado**

**001-33675**

**84-155337**

(State or other jurisdiction of  
incorporation or organization)

(Commission File Number)

(I.R.S. Employer Identification No.)

**202 6<sup>th</sup> Street, Suite 401  
Castle Rock, CO**

**80104**

(Address of principal executive offices)

(Zip Code)

**Registrant's telephone number, including area code:**

**(303) 545-5550**

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions (see General Instruction A.2. below):

☐ Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)

☐ Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)

☐ Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))

☐ Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Indicate by check mark whether the registrant is an emerging growth company as defined in as defined in Rule 405 of the Securities Act of 1933 (§230.405 of this chapter) or Rule 12b2 of the Securities Exchange Act of 1934 (§240.12b2 of this chapter).

Emerging growth company ☐

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act. ☐

**Selling Securityholder Notice and Questionnaire**

The undersigned beneficial owner of common stock (the "Registrable Securities") of Riot Blockchain, Inc., a Nevada corporation (the "Company"), understands that the Company has filed or intends to file with the Securities and Exchange Commission (the "Commission") a registration statement (the "Registration Statement") for the registration and resale under Rule 415 of the Securities Act of 1933, as amended (the "Securities Act"), of the Registrable Securities, in accordance with the terms of the Registration Rights Agreement (the "Registration Rights Agreement") to which this document is annexed. A copy of the Registration Rights Agreement is available from the Company upon request at the address set forth below. All capitalized terms not otherwise defined herein shall have the meanings ascribed thereto in the Registration Rights Agreement.

Certain legal consequences arise from being named as a selling securityholder in the Registration Statement and the related prospectus. Accordingly, holders and beneficial owners of Registrable Securities are advised to consult their own securities law counsel regarding the consequences of being named or not being named as a selling securityholder in the Registration Statement and the related prospectus.

**NOTICE**

The undersigned beneficial owner (the "Selling Securityholder") of Registrable Securities hereby elects to include the Registrable Securities owned by it in the Registration Statement.

The undersigned hereby provides the following information to the Company and represents and warrants that such information is accurate:

**QUESTIONNAIRE****1. Name.**

(a) Full Legal Name of Selling Securityholder

---

(b) Full Legal Name of Registered Holder (if not the same as (a) above) through which Registrable Securities are held:

---

(c) Full Legal Name of Natural Control Person (which means a natural person who directly or indirectly alone or with others has power to vote or dispose of the securities covered by this Questionnaire):

---



**2. Address for Notices to Selling Securityholder:**

---

---

---

Telephone:

Fax:

Contact Person:

**3. Broker-Dealer Status:**

(a) Are you a broker-dealer?

Yes

No

(b) If "yes" to Section 3(a), did you receive your Registrable Securities as compensation for investment banking services to the Company?

Yes

No

Note: If "no" to Section 3(b), the Commission's staff has indicated that you should be identified as an underwriter in the Registration Statement.

(c) Are you an affiliate of a broker-dealer?

Yes

No

(d) If you are an affiliate of a broker-dealer, do you certify that you purchased the Registrable Securities in the ordinary course of business, and at the time of the purchase of the Registrable Securities to be resold, you had no agreements or understandings, directly or indirectly, with any person to distribute the Registrable Securities?

Yes

No

Note: If "no" to Section 3(d), the Commission's staff has indicated that you should be identified as an underwriter in the Registration Statement.

**4. Beneficial Ownership of Securities of the Company Owned by the Selling Securityholder.**

*Except as set forth below in this Item 4, the undersigned is not the beneficial or registered owner of any securities of the Company other than the securities issuable pursuant to the Purchase Agreement.*

---

(a) Type and Amount of other securities beneficially owned by the Selling Securityholder:

---

---

**5. Relationships with the Company:**

*Except as set forth below, neither the undersigned nor any of its affiliates, officers, directors or principal equity holders (owners of 5% or more of the equity securities of the undersigned) has held any position or office or has had any other material relationship with the Company (or its predecessors or affiliates) during the past three years.*

State any exceptions here:

---

---

The undersigned agrees to promptly notify the Company of any inaccuracies or changes in the information provided herein that may occur subsequent to the date hereof at any time while the Registration Statement remains effective.

By signing below, the undersigned consents to the disclosure of the information contained herein in its answers to Items 1 through 5 and the inclusion of such information in the Registration Statement and the related prospectus and any amendments or supplements thereto. The undersigned understands that such information will be relied upon by the Company in connection with the preparation or amendment of the Registration Statement and the related prospectus.

IN WITNESS WHEREOF the undersigned, by authority duly given, has caused this Notice and Questionnaire to be executed and delivered either in person or by its duly authorized agent.

Date:

Beneficial Owner:

By: \_\_\_\_\_  
Name:  
Title:

**[SIGNATURE PAGE FOR SELLING SECURITYHOLDER NOTICE AND QUESTIONNAIRE]**

# Exhibit 6

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<https://www.wsj.com/articles/investor-who-rode-pivot-from-biotech-to-bitcoin-sells-big-stake-1517403600>

## MARKETS

# Investor Who Rode Pivot From Biotech to Bitcoin Sells Big Stake

Barry Honig pares back stake in Riot Blockchain, whose shares soared last year after a change of name



Investor Barry Honig is selling shares in a high-flying bitcoin company that pivoted from biotech.

PHOTO: BARRY HONIG

*By Ianthe Jeanne Dugan*

Jan. 31, 2018 8:00 am ET

A Colorado biotech company made a splash in October when it transformed into a hot bitcoin play whose shares surged after it changed its name to Riot Blockchain Inc.

RIOT -7.03% ▼

Now, a big shareholder who helped spur the transformation is doing something much more quietly: selling.

Barry Honig, a Florida investor, said in an interview that he sold a significant portion of his shares in recent weeks.

“When stock goes up, you take a profit,” he said. “Every good investor does it.”

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## WSJ NEWSLETTER

### Notes on the News

The news of the week in context, with Tyler Blint-Welsh.



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Riot has been one of the highest fliers among dozens of companies that pivoted into bitcoin and blockchain, the technology that underpins the cryptocurrency. After changing its name from Bioptix Diagnostics, Inc., its stock surged more than fivefold in less than three months on the Nasdaq Stock Market. Its price remains almost twice its level before the name change.

## RELATED

[Bitcoin Has Its Worst Month in Three Years](#)

[U.S. Regulators Subpoena Bitfinex, Tether Over Digital Tokens](#)

[Want to Keep Up With Bitcoin Enthusiasts? Learn the Lingo](#)

In a speech last week at the Securities Regulation Institute, a conference for corporate lawyers, U.S. Securities and Exchange Commission Chairman Jay Clayton said the agency is examining the disclosures of public companies that shift their business models to “capitalize on the perceived promise” of the blockchain business.

For Mr. Honig, 46 years old, the cryptocurrency craze is the latest twist in a storied career. From his perch in Boca Raton, he has scooped up shares in dozens of firms that sometimes morph into hot areas—vaping, solar energy, stem cells—and see a stock-price pop. Some have fizzled, raising the ire of other investors.

Mr. Honig said his role varies. His personal website said he offers “strategic guidance... including who should lead the company, what goals and timelines that company should work toward, and a plan for the best way to achieve those goals.” The website was pulled down this week. Mr. Honig declined to explain why.

He has clashed with corporate officials who disagree with the new direction. “This guy trolls for small companies with cash and cheap shares,” said Gail Schoettler, a former lieutenant governor of Colorado who was chairwoman of Bioptix before it became Riot. She said the pivot pre-empted promising medical development.

Mr. Honig said he set the company on more solid financial footing.



“There have been companies that were on the brink of bankruptcy,” Mr. Honig said. “By taking risk, I’ve given companies a second chance to create value for shareholders, including myself.”

Mr. Honig, who was described on his website as a former amateur boxer and promoter, began working at Ramius Capital in 1998, trading distressed equities. He later co-founded Marlin Capital Partners LLC with another investor named Michael Brauser.

Messrs. Honig and Brauser were co-chairmen of InterClick, an online advertising company. It was sold to Yahoo in a deal valued at roughly \$270 million in 2011.

Investors following Mr. Honig's footsteps sometimes wind up on a vertiginous ride. Mr. Honig in September 2011 disclosed that Marlin Capital had purchased 5.5% of BroadVision Inc., a California software vendor, for about \$8.50 per share. The company shifted into cloud hosting—though its regulatory filings said it had little experience in the area—and within six months the shares were trading for more than \$56. It is now trading at about \$3 a share.

## **When stock goes up, you take a profit. Every good investor does it.**

— Barry Honig

Mr. Honig said he sold his stake in BroadVision at a small profit, and attributed the stock-price drop to a lack of execution of the business model. Some investors said the volatility was fueled by a small float—the number of shares available to buy and sell compared with insider holdings. “We are not aware of any corporate developments that we believe would explain this unusual activity,” BroadVision said in a public filing at the time.

In December 2015, Mr. Honig disclosed a 9.1% stake in MGT Capital Investments Inc. The stock, trading at about 23 cents, zoomed up more than 700% after the company pivoted from online gaming to cybersecurity. It also named John McAfee, the namesake of antivirus software, chief executive.

Mr. Honig said he sold his stock in 2016, much of it for less than \$1 per share. The stock fell to about 50 cents last summer. The company has shifted its focus to bitcoin and last week said it ended its relationship with Mr. McAfee. Its stock is now trading at around \$3.

The SEC opened an investigation into MGT in 2016 and subpoenaed records, according to public filings. It asked for documents relating to Mr. Honig and other investors.

Mr. Honig said that he hasn't been contacted by the SEC and doesn't believe he is a target. “I am 120% not worried,” he said.

Mr. Honig and other investors sued MGT last year, alleging that they were owed millions of dollars worth of stock in exchange for a bridge loan. The company has denied the claims. The litigation is pending.

In 2015, Mr. Honig began buying shares in a small company called Venaxis Inc. Ms. Schoettler, the former chairwoman, said Venaxis had been working on a test to detect appendicitis in children. The company reached a deal to buy Bioptix, a closely held medical-device company, in September 2016.

Mr. Honig had opposed the deal, and shortly after it was announced took legal action to force the company to hold a special shareholder meeting and elect new directors. Ms. Schoettler and two other directors resigned as a result.

The company announced it was folding the biotech business and laying off employees. It still holds rights to royalties from some biotech assets.

Bioptix's new directors—some of whom Mr. Honig had recommended—came up with the idea to pivot to bitcoin, he said.

"I thought it was a brilliant move," he said. A company spokeswoman didn't respond to requests for comment.

When Bioptix changed its name to Riot Blockchain in October 2017, Mr. Honig said he owned more than 500,000 shares—9.9% of the company. The stock soared from about \$8 to more than \$46 in a matter of weeks. He later picked up more shares in a private placement that raised more than \$35 million.

Riot announced an acquisition of a bitcoin mining company late last year, and also owns a stake in Coinsquare, a Canadian cryptocurrency exchange.

"This is going to be a survivor in the blockchain space," Mr. Honig said.

Yet he and others are paring back. John O'Rourke, the new chief executive, whom Mr. Honig supported, in December sold shares worth more than \$800,000. Mr. O'Rourke didn't respond to a request for comment.

Mr. Honig has sold about 500,000 shares, he said, but declined to divulge his profit. He said he still owns about 1% of the company, and that the change will be reflected in a coming securities filing. The stock is down by 69% from its Dec. 19 intraday peak, and closed at \$14.28 on Tuesday.

**Write to Ianthe Jeanne Dugan at [ianthe.dugan@wsj.com](mailto:ianthe.dugan@wsj.com)**

*Appeared in the February 1, 2018, print edition as '.'*



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# Exhibit 7

Bitcoin prices (BTC-USD) for June 30, 2016 through September 8, 2018

(generated from <https://finance.yahoo.com/quote/BTC-USD/history> on March 19, 2021)

Date	Open	High	Low	Close	Adj Close	Volume
6/30/2016	640.591	675.403	636.608	673.337	673.337	1.39E+08
7/1/2016	672.515	686.154	669.594	676.296	676.296	1.34E+08
7/2/2016	676.734	703.702	676.399	703.702	703.702	1.12E+08
7/3/2016	704.968	704.968	649.009	658.664	658.664	1.3E+08
7/4/2016	658.804	683.662	650.508	683.662	683.662	92008400
7/5/2016	683.209	683.491	665.066	670.627	670.627	1.3E+08
7/6/2016	670.418	681.898	670.418	677.331	677.331	1.35E+08
7/7/2016	678.09	682.432	611.834	640.562	640.562	2.58E+08
7/8/2016	640.688	666.707	636.467	666.523	666.523	1.42E+08
7/9/2016	666.384	666.384	633.399	650.96	650.96	1.81E+08
7/10/2016	650.599	652.294	641.264	649.36	649.36	1.03E+08
7/11/2016	648.484	659.629	644.98	647.659	647.659	1.08E+08
7/12/2016	648.283	675.259	646.779	664.551	664.551	1.38E+08
7/13/2016	664.797	668.7	654.468	654.468	654.468	1.31E+08
7/14/2016	652.923	662.902	652.923	658.078	658.078	98511400
7/15/2016	659.171	667.077	659.04	663.255	663.255	81673104
7/16/2016	663.781	666.46	659.334	660.767	660.767	50330200
7/17/2016	661.993	682.365	661.993	679.459	679.459	74407904
7/18/2016	679.809	681.555	668.625	673.106	673.106	69465000
7/19/2016	672.738	673.277	667.632	672.864	672.864	61203300
7/20/2016	672.806	672.929	663.36	665.685	665.685	94636400
7/21/2016	665.228	666.219	660.415	665.012	665.012	60491800
7/22/2016	664.922	666.583	646.722	650.619	650.619	1.34E+08
7/23/2016	650.726	656.366	648.524	655.556	655.556	69532200
7/24/2016	655.41	663.11	652.793	661.285	661.285	1.18E+08
7/25/2016	661.263	661.828	653.395	654.097	654.097	78176496
7/26/2016	654.226	656.225	645.879	651.784	651.784	2.25E+08
7/27/2016	651.627	657.456	648.447	654.352	654.352	1.47E+08
7/28/2016	654.492	657.595	654.492	655.035	655.035	86428400
7/29/2016	655.111	657.796	654.786	656.992	656.992	60703500
7/30/2016	657.012	658.223	654.209	655.047	655.047	38456100
7/31/2016	655.1	655.285	624.365	624.681	624.681	1.11E+08
8/1/2016	624.602	626.119	605.884	606.272	606.272	1.22E+08
8/2/2016	606.397	612.848	531.334	547.465	547.465	3.31E+08
8/3/2016	548.656	573.36	541.547	566.355	566.355	2.08E+08
8/4/2016	566.329	579.496	565.777	578.289	578.289	1.25E+08
8/5/2016	578.281	578.281	569.982	575.043	575.043	66127900
8/6/2016	575.03	588.396	569.469	587.778	587.778	80797296
8/7/2016	587.771	597.513	586.816	592.69	592.69	82398400
8/8/2016	592.736	592.994	588.047	591.054	591.054	61194100
8/9/2016	591.038	591.091	584.793	587.801	587.801	92228096
8/10/2016	587.648	599.984	586.371	592.103	592.103	1.03E+08
8/11/2016	592.124	597.542	589.12	589.12	589.12	74514400
8/12/2016	588.798	589.91	583.811	587.559	587.559	69218000
8/13/2016	587.357	589.774	584.979	585.588	585.588	43563000
8/14/2016	585.589	585.666	564.781	570.473	570.473	60851100

8/15/2016	570.494	573.58	563.24	567.24	567.24	57262300
8/16/2016	567.243	581.738	566.716	577.439	577.439	58405200
8/17/2016	577.761	580.894	571.43	573.216	573.216	54443000
8/18/2016	573.707	577.792	573.43	574.318	574.318	59896600
8/19/2016	574.339	578.238	574.182	575.63	575.63	50631600
8/20/2016	576.084	582.818	575.457	581.697	581.697	45301400
8/21/2016	581.939	584.158	580.218	581.308	581.308	38299400
8/22/2016	581.311	588.448	580.594	586.753	586.753	72844000
8/23/2016	586.771	589.474	581.634	583.415	583.415	85349200
8/24/2016	583.412	583.59	579.855	580.182	580.182	56328200
8/25/2016	580.18	580.451	575.167	577.761	577.761	1.36E+08
8/26/2016	577.753	580.623	576.858	579.651	579.651	48856800
8/27/2016	579.452	579.845	568.63	569.947	569.947	59698300
8/28/2016	569.83	574.038	569.74	573.912	573.912	86301600
8/29/2016	574.071	576.278	573.465	574.107	574.107	1.1E+08
8/30/2016	574.114	578.357	574.114	577.503	577.503	70342400
8/31/2016	577.591	577.861	573.642	575.472	575.472	75840896
9/1/2016	575.546	576.311	571.814	572.303	572.303	76923400
9/2/2016	572.41	575.643	570.811	575.537	575.537	79910800
9/3/2016	575.555	599.5	574.056	598.212	598.212	1.59E+08
9/4/2016	598.59	611.837	596.848	608.634	608.634	97942896
9/5/2016	608.99	609.055	602.242	606.59	606.59	82446800
9/6/2016	606.506	610.83	605.091	610.436	610.436	78529104
9/7/2016	610.573	614.545	608.513	614.544	614.544	75032400
9/8/2016	614.635	628.77	613.844	626.316	626.316	86713000
9/9/2016	626.352	626.83	620.263	622.861	622.861	64550200
9/10/2016	622.927	625.095	622.395	623.509	623.509	45016800
9/11/2016	623.424	628.818	600.506	606.719	606.719	73610800
9/12/2016	607.005	608.459	605.411	608.243	608.243	72812304
9/13/2016	608.025	611.193	606.925	609.241	609.241	86920600
9/14/2016	608.841	611.952	608.41	610.684	610.684	47877700
9/15/2016	610.588	611.086	607.155	607.155	607.155	59464600
9/16/2016	607.246	609.261	606.735	606.973	606.973	64963400
9/17/2016	607.218	607.86	605.192	605.984	605.984	37140300
9/18/2016	606.283	610.158	605.856	609.874	609.874	48679400
9/19/2016	609.871	610.932	608.27	609.227	609.227	54796400
9/20/2016	609.254	609.525	607.938	608.312	608.312	72710896
9/21/2016	603.588	603.588	595.883	597.149	597.149	82776200
9/22/2016	597.279	598.487	596.213	596.298	596.298	67085300
9/23/2016	596.199	603.205	595.786	602.842	602.842	51067000
9/24/2016	602.961	604.58	602.045	602.625	602.625	35359500
9/25/2016	602.749	603.381	599.711	600.826	600.826	33977800
9/26/2016	600.807	608.143	600.349	608.043	608.043	59153800
9/27/2016	608.022	608.248	604.11	606.166	606.166	49422400
9/28/2016	606.243	606.59	604.607	604.728	604.728	48722600
9/29/2016	605.019	606.824	604.848	605.693	605.693	55658600
9/30/2016	605.715	609.735	604.142	609.735	609.735	56122400

10/1/2016	609.929	615.237	609.929	613.983	613.983	56357000
10/2/2016	613.948	614.005	609.682	610.892	610.892	39249800
10/3/2016	610.968	612.568	610.455	612.133	612.133	46798300
10/4/2016	612.052	612.054	609.479	610.204	610.204	49801600
10/5/2016	610.218	613.814	609.617	612.511	612.511	68077504
10/6/2016	612.47	613.819	611.469	613.021	613.021	56812100
10/7/2016	612.608	617.912	611.821	617.121	617.121	64071400
10/8/2016	617.341	619.849	617.341	619.108	619.108	42345900
10/9/2016	619.172	619.198	616.607	616.752	616.752	39243400
10/10/2016	616.822	621.318	616.197	618.994	618.994	67481104
10/11/2016	619.238	642.08	618.5	641.072	641.072	1.04E+08
10/12/2016	640.871	641.337	635.965	636.192	636.192	92370200
10/13/2016	636.03	638.833	635.029	636.786	636.786	61620700
10/14/2016	637.008	641.285	637.008	640.378	640.378	58144600
10/15/2016	640.311	642.102	637.39	638.646	638.646	39035400
10/16/2016	639.083	642.898	638.901	641.631	641.631	40298100
10/17/2016	641.818	642.328	638.663	639.193	639.193	58063600
10/18/2016	639.411	640.736	635.996	637.96	637.96	65546700
10/19/2016	638.134	638.874	628.013	630.52	630.52	69381696
10/20/2016	630.663	631.917	628.258	630.857	630.857	56957300
10/21/2016	630.825	634.094	630.694	632.828	632.828	55951000
10/22/2016	633.136	658.197	632.85	657.294	657.294	78556496
10/23/2016	657.621	661.129	653.886	657.071	657.071	54474600
10/24/2016	657.161	657.252	652.595	653.761	653.761	62218200
10/25/2016	654.002	664.424	653.698	657.588	657.588	90378800
10/26/2016	657.678	679.728	657.678	678.304	678.304	88877104
10/27/2016	678.214	688.594	678.04	688.313	688.313	96105296
10/28/2016	688	690.444	684.162	689.651	689.651	81145504
10/29/2016	690.289	720.402	690.052	714.479	714.479	1.35E+08
10/30/2016	714.118	714.118	696.475	701.864	701.864	1.01E+08
10/31/2016	702.64	709.289	691.682	700.972	700.972	97064400
11/1/2016	701.337	736.452	701.337	729.793	729.793	1.31E+08
11/2/2016	730.066	740.829	722.349	740.829	740.829	84865200
11/3/2016	742.346	745.773	678.156	688.7	688.7	1.73E+08
11/4/2016	689.124	706.93	685.563	703.235	703.235	99907696
11/5/2016	703.525	707.51	697.739	703.418	703.418	53752300
11/6/2016	703.812	714.258	699.56	711.522	711.522	59902200
11/7/2016	710.736	710.736	699.903	703.131	703.131	65047100
11/8/2016	703.089	712.987	702.39	709.848	709.848	79660800
11/9/2016	709.825	740.046	708.61	723.273	723.273	1.32E+08
11/10/2016	722.844	723.018	711.21	715.534	715.534	68807800
11/11/2016	715.555	718.318	714.41	716.411	716.411	63119700
11/12/2016	716.752	717.148	704.035	705.054	705.054	64622500
11/13/2016	705.196	705.257	687.315	702.031	702.031	80318096
11/14/2016	701.997	706.284	699.808	705.021	705.021	62993000
11/15/2016	705.794	715.718	705.26	711.619	711.619	72038496
11/16/2016	711.167	747.615	709.039	744.198	744.198	1.41E+08

11/17/2016	744.876	755.645	739.511	740.977	740.977	1.09E+08
11/18/2016	740.705	752.882	736.89	751.585	751.585	87363104
11/19/2016	751.833	756.237	744.467	751.616	751.616	1.11E+08
11/20/2016	751.879	755.48	717.944	731.026	731.026	1.54E+08
11/21/2016	731.265	741.722	730.51	739.248	739.248	60802400
11/22/2016	739.643	753.87	736.527	751.347	751.347	1.3E+08
11/23/2016	751.741	752.25	738.924	744.594	744.594	76543800
11/24/2016	744.62	746.832	733.49	740.289	740.289	85919296
11/25/2016	740.442	741.649	734.591	741.649	741.649	67807600
11/26/2016	741.511	742.214	729.625	735.382	735.382	54962700
11/27/2016	735.437	739.018	731.085	732.035	732.035	52601800
11/28/2016	732.484	738.006	732.484	735.813	735.813	61888600
11/29/2016	736.329	737.471	734.559	735.604	735.604	68511104
11/30/2016	736.284	747.929	736.265	745.691	745.691	84070800
12/1/2016	746.046	758.275	746.046	756.774	756.774	80461904
12/2/2016	757.545	781.296	757.545	777.944	777.944	1.28E+08
12/3/2016	778.248	778.248	764.856	771.155	771.155	69547296
12/4/2016	771.638	773.872	768.161	773.872	773.872	60557900
12/5/2016	773.394	773.468	751.713	758.7	758.7	1.06E+08
12/6/2016	758.72	765.622	758.72	764.224	764.224	1.16E+08
12/7/2016	764.211	771.543	759.75	768.132	768.132	96426096
12/8/2016	768.076	774.698	765.946	770.81	770.81	80111904
12/9/2016	769.944	774.528	769.649	772.794	772.794	68705296
12/10/2016	773.023	777.092	772.91	774.65	774.65	53843100
12/11/2016	774.752	774.798	765.412	769.731	769.731	57313400
12/12/2016	770.04	781.922	770.04	780.087	780.087	76571000
12/13/2016	780.647	788.46	777.962	780.556	780.556	81645600
12/14/2016	780.005	782.034	776.839	781.481	781.481	75979000
12/15/2016	780.07	781.435	777.802	778.088	778.088	81580096
12/16/2016	778.963	785.032	778.963	784.907	784.907	83608200
12/17/2016	785.166	792.509	784.864	790.829	790.829	78989800
12/18/2016	791.008	794.737	788.026	790.53	790.53	60524400
12/19/2016	790.692	793.611	790.32	792.714	792.714	74886400
12/20/2016	792.247	801.337	791.497	800.876	800.876	99629296
12/21/2016	800.644	834.281	799.405	834.281	834.281	1.56E+08
12/22/2016	834.18	875.782	834.149	864.54	864.54	2E+08
12/23/2016	864.888	925.117	864.677	921.984	921.984	2.76E+08
12/24/2016	922.18	923.479	886.335	898.822	898.822	1.38E+08
12/25/2016	899.652	899.652	862.424	896.183	896.183	1.44E+08
12/26/2016	896.905	913.184	896.898	907.61	907.61	1.24E+08
12/27/2016	908.354	940.048	904.255	933.198	933.198	1.67E+08
12/28/2016	934.831	975.921	934.831	975.921	975.921	2.37E+08
12/29/2016	975.125	979.397	954.503	973.497	973.497	1.99E+08
12/30/2016	972.535	972.535	934.833	961.238	961.238	1.87E+08
12/31/2016	960.627	963.743	947.236	963.743	963.743	99135104
1/1/2017	963.658	1003.08	958.699	998.325	998.325	1.48E+08
1/2/2017	998.617	1031.39	996.702	1021.75	1021.75	2.22E+08

1/3/2017	1021.6	1044.08	1021.6	1043.84	1043.84	1.85E+08
1/4/2017	1044.4	1159.42	1044.4	1154.73	1154.73	3.45E+08
1/5/2017	1156.73	1191.1	910.417	1013.38	1013.38	5.1E+08
1/6/2017	1014.24	1046.81	883.944	902.201	902.201	3.52E+08
1/7/2017	903.487	908.585	823.556	908.585	908.585	2.8E+08
1/8/2017	908.175	942.724	887.249	911.199	911.199	1.59E+08
1/9/2017	913.244	913.686	879.807	902.828	902.828	1.42E+08
1/10/2017	902.44	914.873	901.06	907.679	907.679	1.16E+08
1/11/2017	908.115	919.448	762.765	777.757	777.757	3.11E+08
1/12/2017	775.178	826.246	755.756	804.834	804.834	2.22E+08
1/13/2017	803.737	829.001	780.003	823.984	823.984	1.69E+08
1/14/2017	825.142	835.085	812.456	818.412	818.412	93063296
1/15/2017	818.142	823.307	812.871	821.798	821.798	71013600
1/16/2017	821.783	834.53	820.271	831.534	831.534	82755200
1/17/2017	830.946	910.561	830.796	907.938	907.938	1.55E+08
1/18/2017	909.373	917.499	858.304	886.618	886.618	2.26E+08
1/19/2017	888.335	904.614	884.338	899.073	899.073	1.06E+08
1/20/2017	898.172	899.398	887.008	895.026	895.026	86728400
1/21/2017	895.549	927.367	895.535	921.789	921.789	1.11E+08
1/22/2017	922.205	937.525	897.564	924.673	924.673	1.17E+08
1/23/2017	925.499	928.266	916.738	921.012	921.012	73588600
1/24/2017	910.677	924.145	892.286	892.687	892.687	1.11E+08
1/25/2017	891.924	903.252	891.687	901.542	901.542	1.21E+08
1/26/2017	902.395	919.326	902.224	917.586	917.586	1.32E+08
1/27/2017	918.359	923.223	915.846	919.75	919.75	1.26E+08
1/28/2017	919.811	923.911	919.811	921.59	921.59	68979600
1/29/2017	922.067	923.418	919.148	919.496	919.496	60851700
1/30/2017	920.151	923.048	919.474	920.382	920.382	78227296
1/31/2017	920.959	972.019	920.959	970.403	970.403	1.65E+08
2/1/2017	970.941	989.114	970.742	989.023	989.023	1.5E+08
2/2/2017	990.001	1013.52	983.221	1011.8	1011.8	1.46E+08
2/3/2017	1011.46	1033.87	1008.79	1029.91	1029.91	2.01E+08
2/4/2017	1031.33	1045.9	1015.16	1042.9	1042.9	1.55E+08
2/5/2017	1043.52	1043.63	1022.37	1027.34	1027.34	1.14E+08
2/6/2017	1028.4	1044.64	1028.16	1038.15	1038.15	1.12E+08
2/7/2017	1040.14	1061.93	1040.14	1061.35	1061.35	1.46E+08
2/8/2017	1062.32	1078.97	1037.49	1063.07	1063.07	2.02E+08
2/9/2017	1064.7	1088.99	953.344	994.383	994.383	4.07E+08
2/10/2017	995.632	998.905	946.691	988.674	988.674	1.9E+08
2/11/2017	988.898	1009.29	982.83	1004.45	1004.45	1.02E+08
2/12/2017	1003.52	1004.76	996.921	999.181	999.181	67530000
2/13/2017	998.885	1002.1	976.002	990.642	990.642	1.01E+08
2/14/2017	991.735	1011.51	986.471	1004.55	1004.55	1.38E+08
2/15/2017	1006.21	1008.84	1001.58	1007.48	1007.48	89759400
2/16/2017	1007.65	1033.37	1007.65	1027.44	1027.44	1.22E+08
2/17/2017	1026.12	1053.17	1025.64	1046.21	1046.21	1.36E+08
2/18/2017	1049.21	1061.1	1046.96	1054.42	1054.42	99073504

2/19/2017	1054.76	1056.81	1043.46	1047.87	1047.87	77423296
2/20/2017	1048.69	1080.49	1041.69	1079.98	1079.98	1.09E+08
2/21/2017	1079.28	1117.25	1076.93	1115.3	1115.3	1.87E+08
2/22/2017	1114.8	1125.39	1100.55	1117.44	1117.44	1.36E+08
2/23/2017	1117.27	1176.62	1116.96	1166.72	1166.72	1.89E+08
2/24/2017	1172.71	1200.39	1131.96	1173.68	1173.68	3.31E+08
2/25/2017	1170.41	1174.85	1124.59	1143.84	1143.84	1.4E+08
2/26/2017	1144.27	1167.47	1130.2	1165.2	1165.2	1.16E+08
2/27/2017	1163.78	1181.98	1163.38	1179.97	1179.97	1.32E+08
2/28/2017	1180.72	1193.25	1171.82	1179.97	1179.97	1.85E+08
3/1/2017	1180.04	1222.5	1179.69	1222.5	1222.5	2.29E+08
3/2/2017	1224.68	1262.13	1215.62	1251.01	1251.01	3.68E+08
3/3/2017	1250.71	1280.31	1250.71	1274.99	1274.99	3.16E+08
3/4/2017	1277.43	1279.4	1230.51	1255.15	1255.15	1.83E+08
3/5/2017	1254.29	1267.29	1238.06	1267.12	1267.12	1.34E+08
3/6/2017	1267.47	1276	1264.6	1272.83	1272.83	1.54E+08
3/7/2017	1273.21	1275.55	1204.8	1223.54	1223.54	2.91E+08
3/8/2017	1223.23	1232.16	1148.08	1150	1150	3.33E+08
3/9/2017	1150.35	1197.46	1141.23	1188.49	1188.49	2.12E+08
3/10/2017	1189.36	1270.47	1077.25	1116.72	1116.72	5.64E+08
3/11/2017	1116.32	1193.83	1116.32	1175.83	1175.83	2.83E+08
3/12/2017	1176.62	1226.98	1175.36	1221.38	1221.38	2.27E+08
3/13/2017	1221.78	1237.37	1217.03	1231.92	1231.92	3.8E+08
3/14/2017	1232.16	1244.81	1220.72	1240	1240	2.45E+08
3/15/2017	1240.16	1251.61	1239.75	1249.61	1249.61	2.98E+08
3/16/2017	1251.33	1257.98	1152.44	1187.81	1187.81	6.39E+08
3/17/2017	1180.16	1180.16	1099.57	1100.23	1100.23	7.07E+08
3/18/2017	1099.69	1114.07	957.655	973.818	973.818	6.21E+08
3/19/2017	976.73	1069.91	976.73	1036.74	1036.74	4.07E+08
3/20/2017	1037.24	1063.03	1036.68	1054.23	1054.23	2.87E+08
3/21/2017	1055.36	1122.43	1055.36	1120.54	1120.54	3.37E+08
3/22/2017	1120.65	1120.65	1014.21	1049.14	1049.14	3.81E+08
3/23/2017	1050.05	1058.01	1028.93	1038.59	1038.59	2.49E+08
3/24/2017	1038.45	1040.47	934.358	937.52	937.52	4.91E+08
3/25/2017	936.54	975.761	903.713	972.779	972.779	4.36E+08
3/26/2017	974.015	1007.96	954.186	966.725	966.725	3.04E+08
3/27/2017	972.055	1046.4	971.984	1045.77	1045.77	3.73E+08
3/28/2017	1044.58	1064.65	1027.73	1047.15	1047.15	3.26E+08
3/29/2017	1046.08	1055.13	1015.88	1039.97	1039.97	2.98E+08
3/30/2017	1042.21	1049.29	1020.04	1026.43	1026.43	3.53E+08
3/31/2017	1026.64	1074.92	1026.64	1071.79	1071.79	4.47E+08
4/1/2017	1071.71	1091.72	1061.09	1080.5	1080.5	2.9E+08
4/2/2017	1080.61	1107.59	1075.45	1102.17	1102.17	5.14E+08
4/3/2017	1102.95	1151.74	1102.95	1143.81	1143.81	5.8E+08
4/4/2017	1145.52	1156.44	1120.52	1133.25	1133.25	4.36E+08
4/5/2017	1134.14	1135.09	1113.63	1124.78	1124.78	4.15E+08
4/6/2017	1125.81	1188.37	1125.81	1182.68	1182.68	5.11E+08



4/7/2017	1178.94	1186.58	1163.39	1176.9	1176.9	3.17E+08
4/8/2017	1172.65	1184.98	1162.58	1175.95	1175.95	2.09E+08
4/9/2017	1176.57	1197.21	1171.86	1187.87	1187.87	2.42E+08
4/10/2017	1187.3	1190.34	1179.04	1187.13	1187.13	2.16E+08
4/11/2017	1187.46	1208.07	1187.46	1205.01	1205.01	2.16E+08
4/12/2017	1204.81	1207.14	1196.76	1200.37	1200.37	2.89E+08
4/13/2017	1201.02	1205.89	1156.44	1169.28	1169.28	3.52E+08
4/14/2017	1170.33	1190.8	1159.79	1167.54	1167.54	2.55E+08
4/15/2017	1167.3	1188	1164.96	1172.52	1172.52	2.04E+08
4/16/2017	1172.61	1187.22	1172.61	1182.94	1182.94	1.83E+08
4/17/2017	1183.25	1194.9	1172.65	1193.91	1193.91	2.53E+08
4/18/2017	1193.77	1217.57	1193.77	1211.67	1211.67	2.71E+08
4/19/2017	1212.13	1215.51	1205.08	1210.29	1210.29	2.88E+08
4/20/2017	1211.08	1240.79	1208.41	1229.08	1229.08	3.15E+08
4/21/2017	1229.42	1235.94	1215.56	1222.05	1222.05	2.72E+08
4/22/2017	1222.71	1235.56	1208.47	1231.71	1231.71	2.49E+08
4/23/2017	1231.92	1232.2	1203.94	1207.21	1207.21	2.59E+08
4/24/2017	1209.63	1250.94	1209.63	1250.15	1250.15	2.36E+08
4/25/2017	1250.45	1267.58	1249.97	1265.49	1265.49	2.43E+08
4/26/2017	1265.99	1294.83	1265.93	1281.08	1281.08	3.3E+08
4/27/2017	1281.88	1319.7	1281.3	1317.73	1317.73	4.49E+08
4/28/2017	1317.74	1331.28	1292.37	1316.48	1316.48	5.27E+08
4/29/2017	1317.84	1327.2	1315.21	1321.79	1321.79	4.23E+08
4/30/2017	1321.87	1347.91	1314.92	1347.89	1347.89	4.13E+08
5/1/2017	1348.3	1434.32	1348.3	1421.6	1421.6	7.14E+08
5/2/2017	1421.03	1473.9	1415.69	1452.82	1452.82	4.77E+08
5/3/2017	1453.78	1492.77	1447.49	1490.09	1490.09	5.84E+08
5/4/2017	1490.72	1608.91	1490.72	1537.67	1537.67	9.34E+08
5/5/2017	1540.87	1618.03	1530.31	1555.45	1555.45	9.46E+08
5/6/2017	1556.81	1578.8	1542.5	1578.8	1578.8	5.83E+08
5/7/2017	1579.47	1596.72	1559.76	1596.71	1596.71	1.08E+09
5/8/2017	1596.92	1723.35	1596.92	1723.35	1723.35	1.34E+09
5/9/2017	1723.89	1833.49	1716.3	1755.36	1755.36	1.17E+09
5/10/2017	1756.52	1788.44	1719.1	1787.13	1787.13	9.16E+08
5/11/2017	1780.37	1873.93	1755.35	1848.57	1848.57	7.99E+08
5/12/2017	1845.76	1856.15	1694.01	1724.24	1724.24	7.41E+08
5/13/2017	1723.12	1812.99	1651.08	1804.91	1804.91	5.8E+08
5/14/2017	1800.86	1831.42	1776.62	1808.91	1808.91	4.37E+08
5/15/2017	1808.44	1812.8	1708.54	1738.43	1738.43	7.32E+08
5/16/2017	1741.7	1785.94	1686.54	1734.45	1734.45	9.59E+08
5/17/2017	1726.73	1864.05	1661.91	1839.09	1839.09	1.06E+09
5/18/2017	1818.7	1904.48	1807.12	1888.65	1888.65	8.94E+08
5/19/2017	1897.37	2004.52	1890.25	1987.71	1987.71	1.16E+09
5/20/2017	1984.24	2084.73	1974.92	2084.73	2084.73	9.61E+08
5/21/2017	2067.03	2119.08	2037.5	2041.2	2041.2	1.15E+09
5/22/2017	2043.19	2303.9	2017.87	2173.4	2173.4	1.94E+09
5/23/2017	2191.56	2320.82	2178.5	2320.42	2320.42	1.38E+09

5/24/2017	2321.37	2523.72	2321.37	2443.64	2443.64	1.73E+09
5/25/2017	2446.24	2763.71	2285.3	2304.98	2304.98	2.41E+09
5/26/2017	2320.89	2573.79	2071.99	2202.42	2202.42	1.76E+09
5/27/2017	2196.27	2260.2	1855.83	2038.87	2038.87	1.7E+09
5/28/2017	2054.08	2267.34	2054.08	2155.8	2155.8	1.15E+09
5/29/2017	2159.43	2307.05	2107.17	2255.61	2255.61	9.95E+08
5/30/2017	2255.36	2301.96	2124.57	2175.47	2175.47	1.44E+09
5/31/2017	2187.19	2311.08	2145.57	2286.41	2286.41	1.54E+09
6/1/2017	2288.33	2448.39	2288.33	2407.88	2407.88	1.65E+09
6/2/2017	2404.03	2488.55	2373.32	2488.55	2488.55	1.32E+09
6/3/2017	2493.72	2581.91	2423.57	2515.35	2515.35	1.51E+09
6/4/2017	2547.79	2585.89	2452.54	2511.81	2511.81	1.36E+09
6/5/2017	2512.4	2686.81	2510.22	2686.81	2686.81	1.37E+09
6/6/2017	2690.84	2999.91	2690.84	2863.2	2863.2	2.09E+09
6/7/2017	2869.38	2869.38	2700.56	2732.16	2732.16	1.52E+09
6/8/2017	2720.49	2815.3	2670.95	2805.62	2805.62	1.28E+09
6/9/2017	2807.44	2901.71	2795.62	2823.81	2823.81	1.35E+09
6/10/2017	2828.14	2950.99	2746.55	2947.71	2947.71	2.02E+09
6/11/2017	2942.41	2996.6	2840.53	2958.11	2958.11	1.75E+09
6/12/2017	2953.22	2997.26	2518.56	2659.63	2659.63	2.57E+09
6/13/2017	2680.91	2789.04	2650.38	2717.02	2717.02	1.78E+09
6/14/2017	2716.88	2786.83	2412.94	2506.37	2506.37	1.7E+09
6/15/2017	2499.58	2534.71	2212.96	2464.58	2464.58	2.03E+09
6/16/2017	2469.57	2539.92	2385.15	2518.56	2518.56	1.2E+09
6/17/2017	2514.01	2685.19	2484.96	2655.88	2655.88	1.53E+09
6/18/2017	2655.35	2662.1	2516.33	2548.29	2548.29	1.18E+09
6/19/2017	2549.03	2662.85	2549.03	2589.6	2589.6	1.45E+09
6/20/2017	2591.26	2763.45	2589.82	2721.79	2721.79	1.85E+09
6/21/2017	2709.43	2772.01	2660.4	2689.1	2689.1	1.63E+09
6/22/2017	2691.03	2723.74	2642.36	2705.41	2705.41	1.1E+09
6/23/2017	2707.34	2765.17	2706.37	2744.91	2744.91	9.61E+08
6/24/2017	2738.52	2757.94	2583.19	2608.72	2608.72	9.83E+08
6/25/2017	2607.25	2682.26	2552.12	2589.41	2589.41	1.16E+09
6/26/2017	2590.57	2615.25	2376.29	2478.45	2478.45	1.66E+09
6/27/2017	2478.45	2552.45	2332.99	2552.45	2552.45	1.49E+09
6/28/2017	2553.03	2603.98	2484.42	2574.79	2574.79	1.18E+09
6/29/2017	2567.56	2588.83	2510.48	2539.32	2539.32	9.5E+08
6/30/2017	2539.24	2559.25	2478.43	2480.84	2480.84	8.6E+08
7/1/2017	2492.6	2515.27	2419.23	2434.55	2434.55	7.8E+08
7/2/2017	2436.4	2514.28	2394.84	2506.47	2506.47	8.04E+08
7/3/2017	2498.56	2595	2480.47	2564.06	2564.06	9.64E+08
7/4/2017	2561	2631.59	2559.35	2601.64	2601.64	9.86E+08
7/5/2017	2602.87	2622.65	2538.55	2601.99	2601.99	9.42E+08
7/6/2017	2608.1	2616.72	2581.69	2608.56	2608.56	7.62E+08
7/7/2017	2608.59	2916.14	2498.87	2518.66	2518.66	9.17E+08
7/8/2017	2520.27	2571.34	2492.31	2571.34	2571.34	7.33E+08
7/9/2017	2572.61	2635.49	2517.59	2518.44	2518.44	5.28E+08

7/10/2017	2525.25	2537.16	2321.13	2372.56	2372.56	1.11E+09
7/11/2017	2385.89	2413.47	2296.81	2337.79	2337.79	1.33E+09
7/12/2017	2332.77	2423.71	2275.14	2398.84	2398.84	1.12E+09
7/13/2017	2402.7	2425.22	2340.83	2357.9	2357.9	8.36E+08
7/14/2017	2360.59	2363.25	2183.22	2233.34	2233.34	8.83E+08
7/15/2017	2230.12	2231.14	1990.41	1998.86	1998.86	9.94E+08
7/16/2017	1991.98	2058.77	1843.03	1929.82	1929.82	1.18E+09
7/17/2017	1932.62	2230.49	1932.62	2228.41	2228.41	1.2E+09
7/18/2017	2233.52	2387.61	2164.77	2318.88	2318.88	1.51E+09
7/19/2017	2323.08	2397.17	2260.23	2273.43	2273.43	1.25E+09
7/20/2017	2269.89	2900.7	2269.89	2817.6	2817.6	2.25E+09
7/21/2017	2838.41	2838.41	2621.85	2667.76	2667.76	1.49E+09
7/22/2017	2668.63	2862.42	2657.71	2810.12	2810.12	1.18E+09
7/23/2017	2808.1	2832.18	2653.94	2730.4	2730.4	1.07E+09
7/24/2017	2732.7	2777.26	2699.19	2754.86	2754.86	8.66E+08
7/25/2017	2757.5	2768.08	2480.96	2576.48	2576.48	1.46E+09
7/26/2017	2577.77	2610.76	2450.8	2529.45	2529.45	9.37E+08
7/27/2017	2538.71	2693.32	2529.34	2671.78	2671.78	7.89E+08
7/28/2017	2679.73	2897.45	2679.73	2809.01	2809.01	1.38E+09
7/29/2017	2807.02	2808.76	2692.8	2726.45	2726.45	8.04E+08
7/30/2017	2724.39	2758.53	2644.85	2757.18	2757.18	7.06E+08
7/31/2017	2763.24	2889.62	2720.61	2875.34	2875.34	8.61E+08
8/1/2017	2871.3	2921.35	2685.61	2718.26	2718.26	1.32E+09
8/2/2017	2727.13	2762.53	2668.59	2710.67	2710.67	1.09E+09
8/3/2017	2709.56	2813.31	2685.14	2804.73	2804.73	8.05E+08
8/4/2017	2806.93	2899.33	2743.72	2895.89	2895.89	1E+09
8/5/2017	2897.63	3290.01	2874.83	3252.91	3252.91	1.95E+09
8/6/2017	3257.61	3293.29	3155.6	3213.94	3213.94	1.11E+09
8/7/2017	3212.78	3397.68	3180.89	3378.94	3378.94	1.48E+09
8/8/2017	3370.22	3484.85	3345.83	3419.94	3419.94	1.75E+09
8/9/2017	3420.4	3422.76	3247.67	3342.47	3342.47	1.47E+09
8/10/2017	3341.84	3453.45	3319.47	3381.28	3381.28	1.52E+09
8/11/2017	3373.82	3679.72	3372.12	3650.62	3650.62	2.02E+09
8/12/2017	3650.63	3949.92	3613.7	3884.71	3884.71	2.22E+09
8/13/2017	3880.04	4208.39	3857.8	4073.26	4073.26	3.16E+09
8/14/2017	4066.1	4325.13	3989.16	4325.13	4325.13	2.46E+09
8/15/2017	4326.99	4455.97	3906.18	4181.93	4181.93	3.26E+09
8/16/2017	4200.34	4381.23	3994.42	4376.63	4376.63	2.27E+09
8/17/2017	4384.44	4484.7	4243.71	4331.69	4331.69	2.55E+09
8/18/2017	4324.34	4370.13	4015.4	4160.62	4160.62	2.94E+09
8/19/2017	4137.75	4243.26	3970.55	4193.7	4193.7	2.98E+09
8/20/2017	4189.31	4196.29	4069.88	4087.66	4087.66	2.11E+09
8/21/2017	4090.48	4109.14	3988.6	4001.74	4001.74	2.8E+09
8/22/2017	3998.35	4128.76	3674.58	4100.52	4100.52	3.76E+09
8/23/2017	4089.01	4255.78	4078.41	4151.52	4151.52	2.37E+09
8/24/2017	4137.6	4376.39	4130.26	4334.68	4334.68	2.04E+09
8/25/2017	4332.82	4455.7	4307.35	4371.6	4371.6	1.73E+09

8/26/2017	4372.06	4379.28	4269.52	4352.4	4352.4	1.51E+09
8/27/2017	4345.1	4416.59	4317.29	4382.88	4382.88	1.54E+09
8/28/2017	4384.45	4403.93	4224.64	4382.66	4382.66	1.96E+09
8/29/2017	4389.21	4625.68	4352.13	4579.02	4579.02	2.49E+09
8/30/2017	4570.36	4626.52	4471.41	4565.3	4565.3	1.94E+09
8/31/2017	4555.59	4736.05	4549.4	4703.39	4703.39	1.94E+09
9/1/2017	4701.76	4892.01	4678.53	4892.01	4892.01	2.6E+09
9/2/2017	4901.42	4975.04	4469.24	4578.77	4578.77	2.72E+09
9/3/2017	4585.27	4714.08	4417.59	4582.96	4582.96	1.93E+09
9/4/2017	4591.63	4591.63	4108.4	4236.31	4236.31	2.99E+09
9/5/2017	4228.29	4427.84	3998.11	4376.53	4376.53	2.7E+09
9/6/2017	4376.59	4617.25	4376.59	4597.12	4597.12	2.17E+09
9/7/2017	4589.14	4655.04	4491.33	4599.88	4599.88	1.84E+09
9/8/2017	4605.16	4661	4075.18	4228.75	4228.75	2.7E+09
9/9/2017	4229.81	4308.82	4114.11	4226.06	4226.06	1.39E+09
9/10/2017	4229.34	4245.44	3951.04	4122.94	4122.94	1.68E+09
9/11/2017	4122.47	4261.67	4099.4	4161.27	4161.27	1.56E+09
9/12/2017	4168.88	4344.65	4085.22	4130.81	4130.81	1.86E+09
9/13/2017	4131.98	4131.98	3789.92	3882.59	3882.59	2.22E+09
9/14/2017	3875.37	3920.6	3153.86	3154.95	3154.95	2.72E+09
9/15/2017	3166.3	3733.45	2946.62	3637.52	3637.52	4.15E+09
9/16/2017	3637.75	3808.84	3487.79	3625.04	3625.04	1.82E+09
9/17/2017	3606.28	3664.81	3445.64	3582.88	3582.88	1.24E+09
9/18/2017	3591.09	4079.23	3591.09	4065.2	4065.2	1.94E+09
9/19/2017	4073.79	4094.07	3868.87	3924.97	3924.97	1.56E+09
9/20/2017	3916.36	4031.39	3857.73	3905.95	3905.95	1.21E+09
9/21/2017	3901.47	3916.42	3613.63	3631.04	3631.04	1.41E+09
9/22/2017	3628.02	3758.27	3553.53	3630.7	3630.7	1.19E+09
9/23/2017	3629.92	3819.21	3594.58	3792.4	3792.4	9.28E+08
9/24/2017	3796.15	3796.15	3666.9	3682.84	3682.84	7.68E+08
9/25/2017	3681.58	3950.25	3681.58	3926.07	3926.07	1.37E+09
9/26/2017	3928.41	3969.89	3869.9	3892.35	3892.35	1.04E+09
9/27/2017	3892.94	4210.05	3884.82	4200.67	4200.67	1.69E+09
9/28/2017	4197.13	4279.31	4109.7	4174.73	4174.73	1.71E+09
9/29/2017	4171.62	4214.63	4039.29	4163.07	4163.07	1.37E+09
9/30/2017	4166.11	4358.43	4160.86	4338.71	4338.71	1.21E+09
10/1/2017	4341.05	4403.74	4269.81	4403.74	4403.74	1.21E+09
10/2/2017	4395.81	4470.23	4377.46	4409.32	4409.32	1.43E+09
10/3/2017	4408.46	4432.47	4258.89	4317.48	4317.48	1.29E+09
10/4/2017	4319.37	4352.31	4210.42	4229.36	4229.36	1.12E+09
10/5/2017	4229.88	4362.64	4164.05	4328.41	4328.41	1.16E+09
10/6/2017	4324.46	4413.27	4320.53	4370.81	4370.81	1.07E+09
10/7/2017	4369.35	4443.88	4321.05	4426.89	4426.89	9.07E+08
10/8/2017	4429.67	4624.14	4405.64	4610.48	4610.48	1.31E+09
10/9/2017	4614.52	4878.71	4564.25	4772.02	4772.02	1.97E+09
10/10/2017	4776.21	4922.17	4765.1	4781.99	4781.99	1.6E+09
10/11/2017	4789.25	4873.73	4751.63	4826.48	4826.48	1.22E+09

10/12/2017	4829.58	5446.91	4822	5446.91	5446.91	2.79E+09
10/13/2017	5464.16	5840.3	5436.85	5647.21	5647.21	3.62E+09
10/14/2017	5643.53	5837.7	5591.64	5831.79	5831.79	1.67E+09
10/15/2017	5835.96	5852.48	5478.61	5678.19	5678.19	1.98E+09
10/16/2017	5687.57	5776.23	5544.21	5725.59	5725.59	2.01E+09
10/17/2017	5741.58	5800.35	5472.72	5605.51	5605.51	1.82E+09
10/18/2017	5603.82	5603.82	5151.44	5590.69	5590.69	2.4E+09
10/19/2017	5583.74	5744.35	5531.06	5708.52	5708.52	1.78E+09
10/20/2017	5708.11	6060.11	5627.23	6011.45	6011.45	2.35E+09
10/21/2017	5996.79	6194.88	5965.07	6031.6	6031.6	2.21E+09
10/22/2017	6036.66	6076.26	5792.34	6008.42	6008.42	2.03E+09
10/23/2017	6006	6075.59	5732.47	5930.32	5930.32	2.4E+09
10/24/2017	5935.52	5935.52	5504.18	5526.64	5526.64	2.74E+09
10/25/2017	5524.6	5754.33	5397.88	5750.8	5750.8	1.97E+09
10/26/2017	5747.95	5976.8	5721.22	5904.83	5904.83	1.91E+09
10/27/2017	5899.74	5988.39	5728.82	5780.9	5780.9	1.71E+09
10/28/2017	5787.82	5876.72	5689.19	5753.09	5753.09	1.4E+09
10/29/2017	5754.44	6255.71	5724.58	6153.85	6153.85	2.86E+09
10/30/2017	6114.85	6214.99	6040.85	6130.53	6130.53	1.77E+09
10/31/2017	6132.02	6470.43	6103.33	6468.4	6468.4	2.31E+09
11/1/2017	6440.97	6767.31	6377.88	6767.31	6767.31	2.87E+09
11/2/2017	6777.77	7367.33	6758.72	7078.5	7078.5	4.65E+09
11/3/2017	7087.53	7461.29	7002.94	7207.76	7207.76	3.37E+09
11/4/2017	7164.48	7492.86	7031.28	7379.95	7379.95	2.48E+09
11/5/2017	7404.52	7617.48	7333.19	7407.41	7407.41	2.38E+09
11/6/2017	7403.22	7445.77	7007.31	7022.76	7022.76	3.11E+09
11/7/2017	7023.1	7253.32	7023.1	7144.38	7144.38	2.33E+09
11/8/2017	7141.38	7776.42	7114.02	7459.69	7459.69	4.6E+09
11/9/2017	7446.83	7446.83	7101.52	7143.58	7143.58	3.23E+09
11/10/2017	7173.73	7312	6436.87	6618.14	6618.14	5.21E+09
11/11/2017	6618.61	6873.15	6204.22	6357.6	6357.6	4.91E+09
11/12/2017	6295.45	6625.05	5519.01	5950.07	5950.07	8.96E+09
11/13/2017	5938.25	6811.19	5844.29	6559.49	6559.49	6.26E+09
11/14/2017	6561.48	6764.98	6461.75	6635.75	6635.75	3.2E+09
11/15/2017	6634.76	7342.25	6634.76	7315.54	7315.54	4.2E+09
11/16/2017	7323.24	7967.38	7176.58	7871.69	7871.69	5.12E+09
11/17/2017	7853.57	8004.59	7561.09	7708.99	7708.99	4.65E+09
11/18/2017	7697.21	7884.99	7463.44	7790.15	7790.15	3.67E+09
11/19/2017	7766.03	8101.91	7694.1	8036.49	8036.49	3.15E+09
11/20/2017	8039.07	8336.86	7949.36	8200.64	8200.64	3.49E+09
11/21/2017	8205.74	8348.66	7762.71	8071.26	8071.26	4.28E+09
11/22/2017	8077.95	8302.26	8075.47	8253.55	8253.55	3.63E+09
11/23/2017	8232.38	8267.4	8038.77	8038.77	8038.77	4.23E+09
11/24/2017	8074.02	8374.16	7940.93	8253.69	8253.69	5.06E+09
11/25/2017	8241.71	8790.92	8191.15	8790.92	8790.92	4.34E+09
11/26/2017	8789.04	9522.93	8775.59	9330.55	9330.55	5.48E+09
11/27/2017	9352.72	9818.35	9352.72	9818.35	9818.35	5.65E+09

11/28/2017	9823.43	10125.7	9736.3	10058.8	10058.8	6.35E+09
11/29/2017	10077.4	11517.4	9601.03	9888.61	9888.61	1.16E+10
11/30/2017	9906.79	10801	9202.05	10233.6	10233.6	8.31E+09
12/1/2017	10198.6	11046.7	9694.65	10975.6	10975.6	6.78E+09
12/2/2017	10978.3	11320.2	10905.1	11074.6	11074.6	5.14E+09
12/3/2017	11082.7	11858.7	10862	11323.2	11323.2	6.61E+09
12/4/2017	11315.4	11657.2	11081.8	11657.2	11657.2	6.13E+09
12/5/2017	11685.7	12032	11604.6	11916.7	11916.7	6.9E+09
12/6/2017	11923.4	14369.1	11923.4	14291.5	14291.5	1.27E+10
12/7/2017	14266.1	17899.7	14057.3	17899.7	17899.7	1.8E+10
12/8/2017	17802.9	18353.4	14336.9	16569.4	16569.4	2.11E+10
12/9/2017	16523.3	16783	13674.9	15178.2	15178.2	1.39E+10
12/10/2017	15168.4	15850.6	13226.6	15455.4	15455.4	1.34E+10
12/11/2017	15427.4	17513.9	15404.8	16936.8	16936.8	1.22E+10
12/12/2017	16919.8	17781.8	16571.6	17415.4	17415.4	1.46E+10
12/13/2017	17500	17653.1	16039.7	16408.2	16408.2	1.3E+10
12/14/2017	16384.6	17085.8	16185.9	16564	16564	1.38E+10
12/15/2017	16601.3	18154.1	16601.3	17706.9	17706.9	1.43E+10
12/16/2017	17760.3	19716.7	17515.3	19497.4	19497.4	1.27E+10
12/17/2017	19475.8	20089	18974.1	19140.8	19140.8	1.33E+10
12/18/2017	19106.4	19371	18355.9	19114.2	19114.2	1.48E+10
12/19/2017	19118.3	19177.8	17275.4	17776.7	17776.7	1.69E+10
12/20/2017	17760.3	17934.7	16077.7	16624.6	16624.6	2.21E+10
12/21/2017	16642.4	17567.7	15342.7	15802.9	15802.9	1.65E+10
12/22/2017	15898	15943.4	11833	13831.8	13831.8	2.22E+10
12/23/2017	13948.7	15603.2	13828.8	14699.2	14699.2	1.31E+10
12/24/2017	14608.2	14626	12747.7	13925.8	13925.8	1.16E+10
12/25/2017	13995.9	14593	13448.9	14026.6	14026.6	1.07E+10
12/26/2017	14036.6	16461.2	14028.9	16099.8	16099.8	1.35E+10
12/27/2017	16163.5	16930.9	15114.3	15838.5	15838.5	1.25E+10
12/28/2017	15864.1	15888.4	13937.3	14606.5	14606.5	1.23E+10
12/29/2017	14695.8	15279	14307	14656.2	14656.2	1.3E+10
12/30/2017	14681.9	14681.9	12350.1	12952.2	12952.2	1.45E+10
12/31/2017	12897.7	14377.4	12755.6	14156.4	14156.4	1.21E+10
1/1/2018	14112.2	14112.2	13154.7	13657.2	13657.2	1.03E+10
1/2/2018	13625	15444.6	13163.6	14982.1	14982.1	1.68E+10
1/3/2018	14978.2	15572.8	14844.5	15201	15201	1.69E+10
1/4/2018	15270.7	15739.7	14522.2	15599.2	15599.2	2.18E+10
1/5/2018	15477.2	17705.2	15202.8	17429.5	17429.5	2.38E+10
1/6/2018	17462.1	17712.4	16764.6	17527	17527	1.83E+10
1/7/2018	17527.3	17579.6	16087.7	16477.6	16477.6	1.59E+10
1/8/2018	16476.2	16537.9	14208.2	15170.1	15170.1	1.84E+10
1/9/2018	15123.7	15497.5	14424	14595.4	14595.4	1.67E+10
1/10/2018	14588.5	14973.3	13691.2	14973.3	14973.3	1.85E+10
1/11/2018	14968.2	15018.8	13105.9	13405.8	13405.8	1.65E+10
1/12/2018	13453.9	14229.9	13158.1	13980.6	13980.6	1.21E+10
1/13/2018	13952.4	14659.5	13952.4	14360.2	14360.2	1.28E+10



1/14/2018	14370.8	14511.8	13268	13772	13772	1.11E+10
1/15/2018	13767.3	14445.5	13641.7	13819.8	13819.8	1.28E+10
1/16/2018	13836.1	13843.1	10194.9	11490.5	11490.5	1.89E+10
1/17/2018	11431.1	11678	9402.29	11188.6	11188.6	1.88E+10
1/18/2018	11198.8	12107.3	10942.5	11474.9	11474.9	1.5E+10
1/19/2018	11429.8	11992.8	11172.1	11607.4	11607.4	1.07E+10
1/20/2018	11656.2	13103	11656.2	12899.2	12899.2	1.18E+10
1/21/2018	12889.2	12895.9	11288.2	11600.1	11600.1	9.94E+09
1/22/2018	11633.1	11966.4	10240.2	10931.4	10931.4	1.05E+10
1/23/2018	10944.5	11377.6	10129.7	10868.4	10868.4	9.66E+09
1/24/2018	10903.4	11501.4	10639.8	11359.4	11359.4	9.94E+09
1/25/2018	11421.7	11785.7	11057.4	11259.4	11259.4	8.87E+09
1/26/2018	11256	11656.7	10470.3	11171.4	11171.4	9.75E+09
1/27/2018	11174.9	11614.9	10989.2	11440.7	11440.7	7.58E+09
1/28/2018	11475.3	12040.3	11475.3	11786.3	11786.3	8.35E+09
1/29/2018	11755.5	11875.6	11179.2	11296.4	11296.4	7.11E+09
1/30/2018	11306.8	11307.2	10036.2	10106.3	10106.3	8.64E+09
1/31/2018	10108.2	10381.6	9777.42	10221.1	10221.1	8.04E+09
2/1/2018	10237.3	10288.8	8812.28	9170.54	9170.54	9.96E+09
2/2/2018	9142.28	9142.28	7796.49	8830.75	8830.75	1.27E+10
2/3/2018	8852.12	9430.75	8251.63	9174.91	9174.91	7.26E+09
2/4/2018	9175.7	9334.87	8031.22	8277.01	8277.01	7.07E+09
2/5/2018	8270.54	8364.84	6756.68	6955.27	6955.27	9.29E+09
2/6/2018	7051.75	7850.7	6048.26	7754	7754	1.4E+10
2/7/2018	7755.49	8509.11	7236.79	7621.3	7621.3	9.17E+09
2/8/2018	7637.86	8558.77	7637.86	8265.59	8265.59	9.35E+09
2/9/2018	8271.84	8736.98	7884.71	8736.98	8736.98	6.78E+09
2/10/2018	8720.08	9122.55	8295.47	8621.9	8621.9	7.78E+09
2/11/2018	8616.13	8616.13	7931.1	8129.97	8129.97	6.12E+09
2/12/2018	8141.43	8985.92	8141.43	8926.57	8926.57	6.26E+09
2/13/2018	8926.72	8958.47	8455.41	8598.31	8598.31	5.7E+09
2/14/2018	8599.92	9518.54	8599.92	9494.63	9494.63	7.91E+09
2/15/2018	9488.32	10234.8	9395.58	10166.4	10166.4	9.06E+09
2/16/2018	10135.7	10324.1	9824.82	10233.9	10233.9	7.3E+09
2/17/2018	10207.5	11139.5	10149.4	11112.7	11112.7	8.66E+09
2/18/2018	11123.4	11349.8	10326	10551.8	10551.8	8.74E+09
2/19/2018	10552.6	11273.8	10513.2	11225.3	11225.3	7.65E+09
2/20/2018	11231.8	11958.5	11231.8	11403.7	11403.7	9.93E+09
2/21/2018	11372.2	11418.5	10479.1	10690.4	10690.4	9.41E+09
2/22/2018	10660.4	11039.1	9939.09	10005	10005	8.04E+09
2/23/2018	9937.07	10487.3	9734.56	10301.1	10301.1	7.74E+09
2/24/2018	10287.7	10597.2	9546.97	9813.07	9813.07	6.92E+09
2/25/2018	9796.42	9923.22	9407.06	9664.73	9664.73	5.71E+09
2/26/2018	9669.43	10475	9501.73	10366.7	10366.7	7.29E+09
2/27/2018	10393.9	10878.5	10246.1	10725.6	10725.6	6.97E+09
2/28/2018	10687.2	11089.8	10393.1	10397.9	10397.9	6.94E+09
3/1/2018	10385	11052.3	10352.7	10951	10951	7.32E+09

3/2/2018	10977.4	11189	10850.1	11086.4	11086.4	7.62E+09
3/3/2018	11101.9	11528.2	11002.4	11489.7	11489.7	6.69E+09
3/4/2018	11497.4	11512.6	11136.1	11512.6	11512.6	6.08E+09
3/5/2018	11532.4	11704.1	11443.9	11573.3	11573.3	6.47E+09
3/6/2018	11500.1	11500.1	10694.3	10779.9	10779.9	6.83E+09
3/7/2018	10803.9	10929.5	9692.12	9965.57	9965.57	8.8E+09
3/8/2018	9951.44	10147.4	9335.87	9395.01	9395.01	7.19E+09
3/9/2018	9414.69	9466.35	8513.03	9337.55	9337.55	8.7E+09
3/10/2018	9350.59	9531.32	8828.47	8866	8866	5.39E+09
3/11/2018	8852.78	9711.89	8607.12	9578.63	9578.63	6.3E+09
3/12/2018	9602.93	9937.5	8956.43	9205.12	9205.12	6.46E+09
3/13/2018	9173.04	9470.38	8958.19	9194.85	9194.85	5.99E+09
3/14/2018	9214.65	9355.85	8068.59	8269.81	8269.81	6.44E+09
3/15/2018	8290.76	8428.35	7783.05	8300.86	8300.86	6.83E+09
3/16/2018	8322.91	8585.15	8005.31	8338.35	8338.35	5.29E+09
3/17/2018	8321.91	8346.53	7812.82	7916.88	7916.88	4.43E+09
3/18/2018	7890.52	8245.51	7397.99	8223.68	8223.68	6.64E+09
3/19/2018	8344.12	8675.87	8182.4	8630.65	8630.65	6.73E+09
3/20/2018	8619.67	9051.02	8389.89	8913.47	8913.47	6.36E+09
3/21/2018	8937.48	9177.37	8846.33	8929.28	8929.28	6.04E+09
3/22/2018	8939.44	9100.71	8564.9	8728.47	8728.47	5.53E+09
3/23/2018	8736.25	8879.62	8360.62	8879.62	8879.62	5.95E+09
3/24/2018	8901.95	8996.18	8665.7	8668.12	8668.12	5.66E+09
3/25/2018	8612.81	8682.01	8449.1	8495.78	8495.78	4.57E+09
3/26/2018	8498.47	8530.08	7921.43	8209.4	8209.4	5.92E+09
3/27/2018	8200	8232.78	7797.28	7833.04	7833.04	5.38E+09
3/28/2018	7836.83	8122.89	7809.17	7954.48	7954.48	4.94E+09
3/29/2018	7979.07	7994.33	7081.38	7165.7	7165.7	6.36E+09
3/30/2018	7171.45	7276.66	6683.93	6890.52	6890.52	6.29E+09
3/31/2018	6892.48	7207.85	6863.52	6973.53	6973.53	4.55E+09
4/1/2018	7003.06	7060.95	6526.87	6844.23	6844.23	4.53E+09
4/2/2018	6844.86	7135.47	6816.58	7083.8	7083.8	4.33E+09
4/3/2018	7102.26	7530.94	7072.49	7456.11	7456.11	5.5E+09
4/4/2018	7456.41	7469.88	6803.88	6853.84	6853.84	4.94E+09
4/5/2018	6848.65	6933.82	6644.8	6811.47	6811.47	5.64E+09
4/6/2018	6815.96	6857.49	6575	6636.32	6636.32	3.77E+09
4/7/2018	6630.51	7050.54	6630.51	6911.09	6911.09	3.98E+09
4/8/2018	6919.98	7111.56	6919.98	7023.52	7023.52	3.65E+09
4/9/2018	7044.32	7178.11	6661.99	6770.73	6770.73	4.89E+09
4/10/2018	6795.44	6872.41	6704.15	6834.76	6834.76	4.27E+09
4/11/2018	6843.47	6968.32	6817.59	6968.32	6968.32	4.64E+09
4/12/2018	6955.38	7899.23	6806.51	7889.25	7889.25	8.91E+09
4/13/2018	7901.09	8183.96	7758.93	7895.96	7895.96	7.76E+09
4/14/2018	7874.67	8140.71	7846	7986.24	7986.24	5.19E+09
4/15/2018	7999.33	8338.42	7999.33	8329.11	8329.11	5.24E+09
4/16/2018	8337.57	8371.15	7925.73	8058.67	8058.67	5.63E+09
4/17/2018	8071.66	8285.96	7881.72	7902.09	7902.09	6.9E+09



4/18/2018	7944.43	8197.8	7886.01	8163.42	8163.42	6.53E+09
4/19/2018	8159.27	8298.69	8138.78	8294.31	8294.31	7.06E+09
4/20/2018	8286.88	8880.23	8244.54	8845.83	8845.83	8.44E+09
4/21/2018	8848.79	8997.57	8652.15	8895.58	8895.58	7.55E+09
4/22/2018	8925.06	9001.64	8779.61	8802.46	8802.46	6.63E+09
4/23/2018	8794.39	8958.55	8788.81	8930.88	8930.88	6.93E+09
4/24/2018	8934.34	9732.61	8927.83	9697.5	9697.5	1.07E+10
4/25/2018	9701.03	9745.32	8799.84	8845.74	8845.74	1.11E+10
4/26/2018	8867.32	9281.51	8727.09	9281.51	9281.51	8.97E+09
4/27/2018	9290.63	9375.47	8987.05	8987.05	8987.05	7.57E+09
4/28/2018	8939.27	9412.09	8931.99	9348.48	9348.48	7.81E+09
4/29/2018	9346.41	9531.49	9193.71	9419.08	9419.08	8.85E+09
4/30/2018	9426.11	9477.14	9166.81	9240.55	9240.55	8.67E+09
5/1/2018	9251.47	9255.88	8891.05	9119.01	9119.01	7.71E+09
5/2/2018	9104.6	9256.52	9015.14	9235.92	9235.92	7.56E+09
5/3/2018	9233.97	9798.33	9188.15	9743.86	9743.86	1.02E+10
5/4/2018	9695.5	9779.2	9585.96	9700.76	9700.76	8.22E+09
5/5/2018	9700.28	9964.5	9695.12	9858.15	9858.15	7.65E+09
5/6/2018	9845.31	9940.14	9465.25	9654.8	9654.8	7.22E+09
5/7/2018	9645.67	9665.85	9231.53	9373.01	9373.01	7.39E+09
5/8/2018	9380.87	9462.75	9127.77	9234.82	9234.82	7.42E+09
5/9/2018	9223.73	9374.76	9031.62	9325.18	9325.18	7.23E+09
5/10/2018	9325.96	9396.04	9040.52	9043.94	9043.94	6.91E+09
5/11/2018	9052.96	9052.96	8394.46	8441.49	8441.49	8.49E+09
5/12/2018	8441.44	8664.86	8223.5	8504.89	8504.89	6.82E+09
5/13/2018	8515.49	8773.55	8395.12	8723.94	8723.94	5.87E+09
5/14/2018	8713.1	8881.12	8367.97	8716.79	8716.79	7.36E+09
5/15/2018	8705.19	8836.19	8456.45	8510.38	8510.38	6.71E+09
5/16/2018	8504.41	8508.43	8175.49	8368.83	8368.83	6.76E+09
5/17/2018	8370.05	8445.54	8054.12	8094.32	8094.32	5.86E+09
5/18/2018	8091.83	8274.12	7974.82	8250.97	8250.97	5.76E+09
5/19/2018	8255.73	8372.06	8183.35	8247.18	8247.18	4.71E+09
5/20/2018	8246.99	8562.41	8205.24	8513.25	8513.25	5.19E+09
5/21/2018	8522.33	8557.52	8365.12	8418.99	8418.99	5.15E+09
5/22/2018	8419.87	8423.25	8004.58	8041.78	8041.78	5.14E+09
5/23/2018	8037.08	8054.66	7507.88	7557.82	7557.82	6.49E+09
5/24/2018	7561.12	7738.6	7331.14	7587.34	7587.34	6.05E+09
5/25/2018	7592.3	7659.14	7392.65	7480.14	7480.14	4.87E+09
5/26/2018	7486.48	7595.16	7349.12	7355.88	7355.88	4.05E+09
5/27/2018	7362.08	7381.74	7270.96	7368.22	7368.22	4.06E+09
5/28/2018	7371.31	7419.05	7100.89	7135.99	7135.99	5.04E+09
5/29/2018	7129.46	7526.42	7090.68	7472.59	7472.59	5.66E+09
5/30/2018	7469.73	7573.77	7313.6	7406.52	7406.52	4.92E+09
5/31/2018	7406.15	7608.9	7361.13	7494.17	7494.17	5.13E+09
6/1/2018	7500.7	7604.73	7407.34	7541.45	7541.45	4.92E+09
6/2/2018	7536.72	7695.83	7497.26	7643.45	7643.45	4.94E+09
6/3/2018	7632.09	7754.89	7613.04	7720.25	7720.25	4.85E+09

6/4/2018	7722.53	7753.82	7474.04	7514.47	7514.47	4.99E+09
6/5/2018	7500.9	7643.23	7397	7633.76	7633.76	4.96E+09
6/6/2018	7625.97	7680.43	7502.01	7653.98	7653.98	4.69E+09
6/7/2018	7650.82	7741.27	7650.82	7678.24	7678.24	4.49E+09
6/8/2018	7685.14	7698.19	7558.4	7624.92	7624.92	4.23E+09
6/9/2018	7632.52	7683.58	7531.98	7531.98	7531.98	3.85E+09
6/10/2018	7499.55	7499.55	6709.07	6786.02	6786.02	5.8E+09
6/11/2018	6799.29	6910.18	6706.63	6906.92	6906.92	4.75E+09
6/12/2018	6905.82	6907.96	6542.08	6582.36	6582.36	4.65E+09
6/13/2018	6596.88	6631.66	6285.63	6349.9	6349.9	5.05E+09
6/14/2018	6342.75	6707.14	6334.46	6675.35	6675.35	5.14E+09
6/15/2018	6674.08	6681.08	6433.87	6456.58	6456.58	3.96E+09
6/16/2018	6455.45	6592.49	6402.29	6550.16	6550.16	3.19E+09
6/17/2018	6545.53	6589.11	6499.27	6499.27	6499.27	3.1E+09
6/18/2018	6510.07	6781.14	6446.68	6734.82	6734.82	4.04E+09
6/19/2018	6742.39	6822.5	6709.92	6769.94	6769.94	4.06E+09
6/20/2018	6770.76	6821.56	6611.88	6776.55	6776.55	3.89E+09
6/21/2018	6780.09	6810.94	6715.17	6729.74	6729.74	3.53E+09
6/22/2018	6737.88	6747.08	6006.6	6083.69	6083.69	5.08E+09
6/23/2018	6090.1	6224.82	6071.81	6162.48	6162.48	3.43E+09
6/24/2018	6164.28	6223.78	5826.41	6173.23	6173.23	4.57E+09
6/25/2018	6171.97	6327.37	6119.68	6249.18	6249.18	5.5E+09
6/26/2018	6253.55	6290.16	6093.67	6093.67	6093.67	3.28E+09
6/27/2018	6084.4	6180	6052.85	6157.13	6157.13	3.3E+09
6/28/2018	6153.16	6170.41	5873.05	5903.44	5903.44	3.47E+09
6/29/2018	5898.13	6261.66	5835.75	6218.3	6218.3	3.97E+09
6/30/2018	6214.22	6465.51	6214.22	6404	6404	4.54E+09
7/1/2018	6411.68	6432.85	6289.29	6385.82	6385.82	4.79E+09
7/2/2018	6380.38	6683.86	6305.7	6614.18	6614.18	4.4E+09
7/3/2018	6596.66	6671.37	6447.75	6529.59	6529.59	4.67E+09
7/4/2018	6550.87	6771.92	6450.46	6597.55	6597.55	4.18E+09
7/5/2018	6599.71	6749.54	6546.65	6639.14	6639.14	5E+09
7/6/2018	6638.69	6700.94	6533.55	6673.5	6673.5	4.31E+09
7/7/2018	6668.71	6863.99	6579.24	6856.93	6856.93	3.96E+09
7/8/2018	6857.8	6885.91	6747.98	6773.88	6773.88	3.39E+09
7/9/2018	6775.08	6838.68	6724.34	6741.75	6741.75	3.72E+09
7/10/2018	6739.21	6767.74	6320.72	6329.95	6329.95	4.05E+09
7/11/2018	6330.77	6444.96	6330.47	6394.71	6394.71	3.64E+09
7/12/2018	6396.78	6397.1	6136.42	6228.81	6228.81	3.77E+09
7/13/2018	6235.03	6310.55	6192.24	6238.05	6238.05	3.81E+09
7/14/2018	6247.5	6298.19	6212.22	6276.12	6276.12	2.92E+09
7/15/2018	6272.7	6403.46	6256.51	6359.64	6359.64	3.29E+09
7/16/2018	6357.01	6741.75	6357.01	6741.75	6741.75	4.73E+09
7/17/2018	6739.65	7387.24	6684.17	7321.04	7321.04	5.96E+09
7/18/2018	7315.32	7534.99	7280.47	7370.78	7370.78	6.1E+09
7/19/2018	7378.2	7494.46	7295.46	7466.86	7466.86	5.11E+09
7/20/2018	7467.4	7594.67	7323.26	7354.13	7354.13	4.94E+09

7/21/2018	7352.72	7437.64	7262.41	7419.29	7419.29	3.73E+09
7/22/2018	7417.8	7537.95	7383.82	7418.49	7418.49	3.7E+09
7/23/2018	7414.71	7771.5	7409.1	7711.11	7711.11	5.13E+09
7/24/2018	7716.51	8424.27	7705.5	8424.27	8424.27	7.28E+09
7/25/2018	8379.66	8416.87	8086.36	8181.39	8181.39	5.85E+09
7/26/2018	8176.85	8290.33	7878.71	7951.58	7951.58	4.9E+09
7/27/2018	7950.4	8262.66	7839.76	8165.01	8165.01	5.2E+09
7/28/2018	8169.06	8222.85	8110.77	8192.15	8192.15	3.99E+09
7/29/2018	8205.82	8272.26	8141.18	8218.46	8218.46	4.11E+09
7/30/2018	8221.58	8235.5	7917.5	8180.48	8180.48	5.55E+09
7/31/2018	8181.2	8181.53	7696.93	7780.44	7780.44	5.29E+09
8/1/2018	7769.04	7769.04	7504.95	7624.91	7624.91	4.8E+09
8/2/2018	7634.19	7712.77	7523.44	7567.15	7567.15	4.21E+09
8/3/2018	7562.14	7562.14	7328.65	7434.39	7434.39	4.63E+09
8/4/2018	7438.67	7497.49	6984.07	7032.85	7032.85	4.27E+09
8/5/2018	7031.08	7102.77	6940.7	7068.48	7068.48	3.68E+09
8/6/2018	7062.94	7166.55	6890.54	6951.8	6951.8	3.93E+09
8/7/2018	6958.32	7146.56	6748.24	6753.12	6753.12	4.68E+09
8/8/2018	6746.85	6746.85	6226.22	6305.8	6305.8	5.06E+09
8/9/2018	6305.56	6625.73	6249.07	6568.23	6568.23	4.27E+09
8/10/2018	6571.42	6591.26	6124.52	6184.71	6184.71	4.53E+09
8/11/2018	6185.79	6455.74	6109.03	6295.73	6295.73	4.05E+09
8/12/2018	6283.65	6409.85	6237.5	6322.69	6322.69	5.67E+09
8/13/2018	6341.36	6537.05	6225.72	6297.57	6297.57	4.08E+09
8/14/2018	6287.66	6287.94	5971.05	6199.71	6199.71	5.3E+09
8/15/2018	6221.42	6588.49	6221.42	6308.52	6308.52	4.9E+09
8/16/2018	6294.23	6473.5	6276.41	6334.73	6334.73	4.33E+09
8/17/2018	6340.91	6582.5	6324.97	6580.63	6580.63	4.99E+09
8/18/2018	6583.43	6617.35	6353.73	6423.76	6423.76	3.98E+09
8/19/2018	6422.57	6537.98	6361.55	6506.07	6506.07	3.31E+09
8/20/2018	6500.51	6536.92	6297.93	6308.53	6308.53	3.67E+09
8/21/2018	6301.07	6500.87	6298.24	6488.76	6488.76	3.38E+09
8/22/2018	6486.25	6816.79	6310.11	6376.71	6376.71	4.67E+09
8/23/2018	6371.34	6546.54	6371.34	6534.88	6534.88	3.43E+09
8/24/2018	6551.52	6719.96	6498.64	6719.96	6719.96	4.1E+09
8/25/2018	6719.95	6789.63	6700.96	6763.19	6763.19	3.31E+09
8/26/2018	6754.64	6774.75	6620.75	6707.26	6707.26	3.3E+09
8/27/2018	6710.8	6884.64	6689.71	6884.64	6884.64	4.02E+09
8/28/2018	6891.08	7109.56	6882.34	7096.28	7096.28	4.66E+09
8/29/2018	7091.71	7113.3	6970.82	7047.16	7047.16	4.15E+09
8/30/2018	7043.76	7072.69	6834.69	6978.23	6978.23	4.46E+09
8/31/2018	6973.97	7057.17	6920.16	7037.58	7037.58	4.5E+09
9/1/2018	7044.81	7242.29	7038.05	7193.25	7193.25	4.12E+09
9/2/2018	7189.58	7306.31	7132.16	7272.72	7272.72	4.33E+09
9/3/2018	7279.03	7317.94	7208.15	7260.06	7260.06	4.09E+09
9/4/2018	7263	7388.26	7255.44	7361.66	7361.66	4.27E+09
9/5/2018	7361.46	7388.43	6792.83	6792.83	6792.83	5.8E+09

9/6/2018	6755.14	6755.14	6404.72	6529.17	6529.17	5.52E+09
9/7/2018	6528.92	6555.29	6396.87	6467.07	6467.07	4.26E+09
9/8/2018	6460.17	6534.25	6197.52	6225.98	6225.98	3.84E+09

# Exhibit 8

As filed with the Securities and Exchange Commission on January 5, 2018

Registration No. 333-

**UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, DC 20549**

**FORM S-3  
REGISTRATION STATEMENT  
UNDER  
THE SECURITIES ACT OF 1933**

**RIOT BLOCKCHAIN, INC.**

(Exact name of registrant as specified in its charter)

**Nevada**  
(State or other jurisdiction of  
incorporation or organization)

**84-155337**  
(I.R.S. Employer  
Identification No.)

**202 6<sup>th</sup> Street, Suite 401  
Castle Rock, CO 80104  
(303) 794-2000**  
(Address, including zip code, and telephone number, including  
area code, of registrant's principal executive offices)

**Jeffrey G. McGonegal  
Chief Financial Officer  
202 6<sup>th</sup> Street, Suite 401  
Castle Rock, CO 80104  
(303) 794-2000**  
(Name, address, including zip code, and telephone number, including area code, of agent for service)

*With copies to:*  
**Harvey Kesner, Esq.  
Tara Guarneri-Ferrara, Esq.  
Sichenzia Ross Ference Kesner LLP  
1185 Avenue of the Americas, 37th Floor  
New York, New York 10036  
(212) 930-9700**

**Approximate date of commencement of proposed sale to the public:** From time to time after the effective date of this registration statement.

If the only securities being registered on this Form are being offered pursuant to dividend or interest reinvestment plans, please check the following box. ☐

If any of the securities being registered on this Form are to be offered on a delayed or continuous basis pursuant to Rule 415 under the Securities Act of 1933, other than securities offered only in connection with dividend or interest reinvestment plans, check the following box. ☒

If this Form is filed to register additional securities for an offering pursuant to Rule 462(b) under the Securities Act, please check the following box and list the Securities Act registration statement number of the earlier effective registration statement for the same offering. ☐

If this Form is a post-effective amendment filed pursuant to Rule 462(c) under the Securities Act, check the following box and list the Securities Act registration statement number of the earlier effective registration statement for the same offering. ☐

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## USE OF PROCEEDS

The net proceeds from any disposition of the shares covered hereby would be received by the selling stockholders. We will not receive any of the proceeds from the sale of our Common Stock by the selling stockholders other than the net proceeds of any warrants exercised for cash.

## DESCRIPTION OF TRANSACTIONS

On December 19, 2017, we entered into agreements to sell \$37,037,528 units of our securities (the "Units") pursuant to separate purchase agreements (the "Securities Purchase Agreements") with accredited investors (the "Investors"), at a purchase price of \$22.50 per Unit. Each Unit consists of one share of our Common Stock, and a three year warrant (the "Warrants") to purchase one share of Common Stock, at an exercise price of \$40.00 per share (such sale and issuance, the "Private Placement"). The closing of the Private Placement occurred on December 21, 2017.

The Warrants are exercisable, at any time on or after the sixth month anniversary of the closing date of the Private Placement, at a price of \$40.00 per share, subject to adjustment, and expire three years therefrom. The holders may, subject to certain limitations, exercise the Warrants on a cashless basis. We are prohibited from effecting an exercise of any Warrant to the extent that, as a result of any such exercise, the holder would beneficially own more than 9.99% of the number of shares of Common Stock outstanding immediately after giving effect to the issuance of shares of Common Stock upon exercise of such Warrant.

The offering was made pursuant to an exemption from registration under Section 4(a)(2) of the Securities Act of 1933, as amended (the "Securities Act") and/or pursuant to Rule 903 of Regulation S promulgated under the Securities Act.

## SELLING STOCKHOLDERS

This prospectus relates to the sale or other disposition of up to 3,292,226 shares of our Common Stock by the selling stockholders named below, and their donees, pledgees, transferees or other successors-in-interest selling shares of Common Stock or interests in shares of Common Stock received after the date of this prospectus from a selling stockholder as a gift, pledge, partnership distribution or other transfer, which includes:

- (i) 1,646,113 shares of Common Stock; and
- (ii) 1,646,113 shares of Common Stock issuable upon the exercise of outstanding warrants.

The following table, based upon information currently known by us, sets forth as of December 28, 2017, (i) the number of shares held of record or beneficially by the selling stockholders as of such date (as determined below) and (ii) the number of shares that may be sold or otherwise disposed of under this prospectus by each selling stockholder. Percentage ownership is based on 11,622,112 shares of Common Stock outstanding as of January 4, 2018, plus securities deemed to be outstanding with respect to individual stockholders pursuant to Rule 13d-3(d)(1) under the Exchange Act. Beneficial ownership includes shares of Common Stock plus any securities held by the holder exercisable for or convertible into shares of Common Stock within 60 days after January 4, 2018, in accordance with Rule 13d-3(d)(1) under the Exchange Act. The inclusion of any shares in this table does not constitute an admission of beneficial ownership for the selling stockholder named below. We do not know when or in what amounts a selling stockholder may sell or otherwise dispose of the shares of Common Stock covered hereby.

The selling stockholders may not sell or otherwise dispose of any or all of the shares offered by this prospectus and may sell or otherwise dispose of shares covered hereby in transactions exempt from the registration requirements of the Securities Act. Because the selling stockholders may sell or otherwise dispose of some, all or none of the shares covered hereby, and because there are currently no agreements, arrangements or understandings with respect to the sale of any of the shares, we cannot estimate the number of the shares that will be held by the selling stockholders after completion of the offering. However, for purposes of the following table, we have assumed that all of the shares covered hereby are sold by the selling stockholders pursuant to this prospectus.

None of the selling stockholders has held any position or office, or has otherwise had a material relationship, with us or any of our subsidiaries within the past three years other than as a result of the ownership of our shares or other securities. Unless otherwise indicated below, to our knowledge, all persons named in the table have sole voting and investment power with respect to their shares of Common Stock, except to the extent authority is shared by their spouses under applicable law. Unless otherwise indicated below, to our knowledge, no persons named in the table are a broker-dealer or affiliate of a broker-dealer. Unless otherwise indicated, all addresses are c/o Riot Blockchain, Inc., 202 6th Street, Suite 401, Castle Rock, CO 80104.

Name of Selling Stockholder	Number of Shares of Common Stock Beneficially Owned Before this Offering	Percentage of Common Stock Beneficially Owned Before this Offering**	Shares of Common Stock Offered in this Offering	Shares of Common Stock Beneficially Owned After this Offering	Percentage of Common Stock Beneficially Owned After this Offering**
2330573 Ontario Inc.	96,444 (1)	*	88,888 (33)	52,000	*
Acquisition Group Limited	135,556 (2)	1.16%	71,112 (33)	100,000 (34)	*
Armand Reale	4,000 (3)	*	8,000 (33)	-	*
Catherine DeFrancesco ITF Ava Defrancesco	22,911 (4)	*	7,112 (33)	19,355 (35)	*
Catherine DeFrancesco ITF Devlin DeFrancesco	22,911 (5)	*	7,112 (33)	19,355 (36)	*
Catherine DeFrancesco ITF Lachlan Defrancesco	22,911 (6)	*	7,112 (33)	19,355 (37)	*
Catherine DeFrancesco ITF Summer Defrancesco	22,911 (7)	*	7,112 (33)	19,355 (38)	*
Clara Serruya	266,667 (8)	2.29%	533,334 (33)	-	*
DeFrancesco Motorsports Inc.	5,333 (9)	*	10,666 (33)	-	*
Delavaco Holdings Inc.	10,667 (10)	*	21,334 (33)	-	*
Eduardo Vivas	6,667 (11)	*	13,334 (33)	-	*
First Canadian Insurance Corp	14,000 (12)	*	28,000 (33)	-	*
Glass Investments LP	13,444 (13)	*	26,888 (33)	-	*
Grander Holdings, Inc. 401K	217,733 (14)	1.86%	266,666 (33)	84,400 (39)	*
GRQ Consultants, Inc.	22,222 (15)	*	44,444 (33)	-	*
GT Capital Inc	29,436 (16)	*	26,666 (33)	16,103 (40)	*
Hudson Bay Master Fund Ltd	333,334 (17)	2.87%	666,668 (33)	-	*
Interward Capital Corp.	4,000 (18)	*	8,000 (33)	-	*
Intracoastal Capital LLC	133,334 (19)	1.15%	266,668 (33)	-	*
LDIC Inc. ITF McGilligan Barry Investments Ltd.	11,100 (20)	*	22,200 (33)	-	*
Marcandy Investments Corp.	5,333 (21)	*	10,666 (33)	-	*
Monroe Capital, LLC	22,000 (22)	*	44,000 (33)	-	*
Melechdavid Inc.	131,945 (23)	1.13%	88,890 (33)	87,500 (41)	*
Michael Ference	4,444 (24)	*	8,888 (33)	-	*
Millennium Insurance Corp.	7,000 (25)	*	14,000 (33)	-	*
MMCAP International Inc. SPC	366,667 (26)	3.15%	733,334 (33)	-	*
Namaste Gorgie, Inc.	42,927 (27)	*	21,334 (33)	32,260 (42)	*
Northurst, Inc.	589,317 (28)	4.99%	177,778 (33)	593,996 (43)	4.99%
Paradox Capital Partners LLC	4,444 (29)	*	8,888 (33)	-	*
Rockhaven Holdings Ltd.	6,000 (30)	*	12,000 (33)	-	*
Sunnybrook Premie Investments Inc.	11,666 (31)	*	23,332 (33)	-	*
York Plains Investment Corp.	8,900 (32)	*	17,800 (33)	-	*

\* Less than 1%.

\*\* Based on 11,622,112 shares of Common Stock outstanding as of January 4, 2018.



- (1) Represents 96,444 shares of Common Stock. Jason Theofilos is the President of 2330573 Ontario Inc. In such capacity he has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 120 East Beaver Creek Road, Suite 200, Richmond Hill, Ontario, L4B 4V1, Canada.
- (2) Represents (i) 115,556 shares of Common Stock and (ii) 20,000 shares of Common Stock issuable upon exercise of outstanding warrants. Adam Arviv is the President of Acquisition Group Limited. In such capacity he has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 118 Yorkville Ave, Suite 604, Toronto, Ontario M5R1C2.
- (3) Represents 4,000 shares of Common Stock. The address for this selling stockholder is 85 Vickers Rd Toronto, ON M9B 1C1.
- (4) Represents (i) 3,556 shares of Common Stock and (ii) 19,355 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding. The address for this selling stockholder is 366 Bay St., #200, Toronto ON M5H 4B2.
- (5) Represents (i) 3,556 shares of Common Stock and (ii) 19,355 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding. The address for this selling stockholder is 366 Bay St., #200, Toronto ON M5H 4B2.
- (6) Represents (i) 3,556 shares of Common Stock and (ii) 19,355 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding. The address for this selling stockholder is 366 Bay St., #200, Toronto ON M5H 4B2.
- (7) Represents (i) 3,556 shares of Common Stock and (ii) 19,355 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding. The address for this selling stockholder is 366 Bay St., #200, Toronto ON M5H 4B2.
- (8) Represents 266,667 shares of Common Stock. The address for this selling stockholder is 210 Shields Crt, Markham, ONT L3R-8V2.
- (9) Represents 5,333 shares of Common Stock. Catherine DeFrancesco is the President of DeFrancesco Motor Sports Inc. In such capacity she has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 366 Bay St., #200, Toronto, Ontario M5H 4B2.
- (10) Represents 10,667 shares of Common Stock. Catherine DeFrancesco is the President of Delavaco Holdings Inc. In such capacity she has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 366 Bay St., #200, Toronto ON M5H 4B2.
- (11) Represents 6,667 shares of Common Stock. The address for this selling stockholder is 341 Fibert Street, San Francisco, CA 94133.
- (12) Represents 14,000 shares of Common Stock. Marc Sontrop is the President of First Canadian Insurance Corp. In such capacity he has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 320 Sioux Rd., Sherwood Park, AB T8A 3X6.
- (13) Represents 13,444 shares of Common Stock. Marc Sontrop is the President of Glass Investments LP. In such capacity he has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is PO Box 212 St. Martins House Le Bordage, St Peters Port Guernsey, Channel Islands GY1 4UE.
- (14) Represents (i) 142,733 shares of Common Stock and (ii) 75,000 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding. Michael Brauser is the Trustee of Grander Holdings, Inc 401K. In such capacity he has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 2650 N. Military Trail, Suite 300, Boca Raton, FL 33431. The address for this selling stockholder is 2650 N. Military Trail, Suite 300, Boca Raton, FL 33431.
- (15) Represents 22,222 shares of Common Stock. Barry Honig is the trustee of GRQ Consultants, Inc. In such capacity he has voting and dispositive power over the securities held by such entity. The address for this selling stockholder is 555 S. Federal Highway, #450, Boca Raton, FL 33432.
- (16) Represents (i) 5,333 shares of Common Stock and (ii) 16,103 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding. Andrea DeFrancesco is the President of GT Capital Inc. In such capacity she has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 366 Bay St., #200, Toronto, Ontario M5H 4B2.
- (17) Represents 333,334 shares of Common Stock. Scott Black is the CCO of Hudson Bay Master Fund Ltd. In such capacity he has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 777 Third Avenue, 30<sup>th</sup> Floor, New York, NY 10017.
- (18) Represents 4,000 shares of Common Stock. Marc Sontrop is the Director of Interward Capital Corp. In such capacity he has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 7 Saint Thomas St., Suite 802, Toronto, ON M5S 2B7.
- (19) Represents 133,334 shares of Common Stock. Keith Goodman is the Authorized Signatory of Intracoastal Capital LLC. In such capacity he has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 2211A Lakeside Drive, Bannockburn, IL 60015.
- (20) Represents 11,100 shares of Common Stock. Michael Decter is the CIO, Principal of LDIC Inc. ITF McGilligan Barry Investments Ltd. In such capacity he has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 130 King St., W., Suite 2130, Toronto, ON M5X 1E2.
- (21) Represents 5,333 shares of Common Stock. Catherine DeFrancesco is the President of Marcandy Investments Corp. In such capacity she has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 366 Bay St., #200, Toronto, Ontario M5H 4B2.

- (22) Represents 22,000 shares of Common Stock. Mark B. Fisher is the Managing Member of Monroe Capital, LLC. In such capacity he has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 301 W 41<sup>st</sup> Street, Suite 300, Miami Beach, FL 33140.
- (23) Represents (i) 44,445 shares of Common Stock, (ii) 87,500 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding. Mark Groussman is the President of Melechdavid Inc. In such capacity he has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 5154 La Gorce Drive, Miami Beach, FL 33140.
- (24) Represents 4,444 shares of Common Stock. The address for this selling stockholder is 8 John St., Demarest, NJ 07627.
- (25) Represents 7,000 shares of Common Stock. Marc Sontrop is the President of Millennium Insurance Corp. In such capacity he has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 320 Sioux Rd., Sherwood Park, AB T8A 3X6.
- (26) Represents 366,667 shares of Common Stock. Mathew Maclsaac is the Director of MMCAP International Inc. SPC. In such capacity he has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is George Town Financial Centre, 90 Fort St., Grand Cayman Islands KY1-1104.
- (27) Represents (i) 10,667 shares of Common Stock and (ii) 32,260 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding. Catherine DeFrancesco is the President of Namaste Gorgie Inc. In such capacity she has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 366 Bay St., #200, Toronto, Ontario M5H 4B2.
- (28) Represents (i) 388,889 shares of Common Stock, (ii) 100,000 shares of Common Stock issuable upon exercise of outstanding warrants and (iii) 100,428 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding. Does not include 399,572 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding. The Series B Preferred Stock contains a 4.99% beneficial ownership blocker. Jake Malczewski is the Controlling Shareholder of Northurst Inc. In such capacity he has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 118 Cragmore Ave, Pointe-Claire, Quebec H9R 5M1.
- (29) Represents 4,444 shares of Common Stock. Harvey Kesner is the Manager of Paradox Capital Partners LLC. In such capacity he has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 1151 N. Ft Lauderdale Beach Blvd., 14D, Ft. Lauderdale, FL 33304.
- (30) Represents 6,000 shares of Common Stock. Marc Sontrop is the Director of Rockhaven Holdings Ltd. In such capacity he has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 7 Saint Thomas St., Suite 802, Toronto, ON M5S 2B7.
- (31) Represents 11,666 shares of Common Stock. Carmela DeFrancesco is the President of Sunnybrook Preemie Investments Inc. In such capacity she has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 366 Bay St., #200, Toronto, Ontario M5H 4B2.
- (32) Represents 8,900 shares of Common Stock. Shawn Dym is the Managing Director of York Plains Investment Corp. In such capacity he has voting and dispositive control over the securities held by such entity. The address for this selling stockholder is 25 Sheppard Ave. W., Toronto, ON M2N 6S6.
- (33) Of the shares of Common Stock offered in this offering, 50% of total shares represent shares of Common Stock and 50% represent shares of Common Stock issuable upon exercise of outstanding warrants ("Warrants"). The Warrants to purchase one share of Common Stock, expire after three years, at an exercise price of \$40.00 per share and are not exercisable until six months following their issuance.
- (34) Represents (i) 80,000 shares of Common Stock and (ii) 20,000 shares of Common Stock issuable upon exercise of outstanding warrants.
- (35) Represents 19,355 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding.
- (36) Represents 19,355 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding.
- (37) Represents 19,355 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding.
- (38) Represents 19,355 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding.
- (39) Represents (i) 9,400 shares of Common Stock and (ii) 75,000 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding.
- (40) Represents 16,103 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding.
- (41) Represents 87,500 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding.
- (42) Represents 32,260 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding.
- (43) Represents (i) 300,000 shares of Common Stock, (ii) 100,000 shares of Common Stock issuable upon exercise of outstanding warrants and (iii) 193,996 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding. Does not include 306,004 shares of Common Stock issuable upon conversion of shares of Series B Preferred Stock outstanding. The Series B Preferred Stock contains a 4.99% beneficial ownership blocker.